



# **Draft**

# **Coordinated Prevention Grant Guidelines**

# **2006-07**

**Washington State Department of Ecology**

**Solid Waste and Financial Assistance Program**

**Publication No. 05-07-025**

**June 2005**

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Coordinated Prevention Grant Guidelines 2006-07

Publication No. 05-07-025

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## Contact Information

**Table 1-1 - Ecology's Regional Grant Officers**

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# Chapter 1: Introduction and Major Changes

## Introduction

Coordinated prevention grants (CPG Program) are funded from the local toxics control account (LTCA) authorized by RCW 82.21.030. The purpose of the CPG Program is to consolidate almost all of the grant programs funded from LTCA. The legislative intent of the CPG Program is to: 1) promote regional solutions and intergovernmental cooperation; 2) fund local government programs that prevent or minimize environmental contamination in compliance with state solid and hazardous waste laws and rules; 3) provide funding assistance for local solid and hazardous waste planning and for implementation of some programs and projects in those plans; 4) encourage local responsibility for solid and hazardous waste management; and, 5) improve efficiency, consistency, reliability, and accountability of grant administration.

In addition to providing the basic information needed to develop and complete a successful grant application for funds, these guidelines were prepared for you to use as you administer and manage your grant funded projects. These Guidelines include application information, information about grant criteria and eligibility, grant cycle timelines, reporting requirements, and all necessary forms (forms are also available in an electronic version, please contact your regional grant officer to request electronic forms). It is recommended that these guidelines be used in conjunction with the *Administrative Requirements for Ecology Grants and Loans, revised October 2000* (WDOE 91-18, also known as “The Yellow Book”). Although we hope that these guidelines are clear and easy to use, your regional grant officer is available to provide assistance as well. Please see the preceding page (Table 1-1) for contact information.

## Major Changes

The Joint Legislative Audit and Review Committee’s (JLARC) 2001 report, Investing In The Environment: Environmental Quality Grant & Loan Programs, and the resulting House Bill 1785 were the primary drivers for changes to the Coordinated Prevention Grant (CPG) program during the last grant cycle. A timeline of significant changes affecting the CPG program is located on page 3. Changes in the current grant cycle are primarily driven by input from local government grant recipients and Ecology grant staff. Local government input was gathered at the 2004 State Solid Waste Summit and through meetings with the CPG Workgroup.

The CPG Workgroup is a committee of local government grant recipients and Ecology grant staff that has worked together over the past several years to refine and enhance the CPG program. Changes to the CPG program have been influenced by input from grant recipients, Ecology staff, the new Beyond Waste Plan (Washington State Hazardous Waste Management Plan and Solid Waste Management Plan), and direction from the Legislature (HB 1785). For more information about JLARC and HB 1785, please visit Ecology’s website at <http://www.ecy.wa.gov/programs/swfa/cpg/jlarc.html>.

The primary changes to the CPG program (described briefly below) since the last cycle includes:

- The minimum threshold score for grant applications;
- The criteria for supplemental projects;
- The timing of the supplemental grants;

- The process for awarding supplemental funds; and
- Report forms and information sharing.

The minimum threshold score is a way for Ecology to ensure projects have defined outcomes and are ready to proceed. Ecology updated the scoring system to eliminate unnecessary or redundant questions from the grant application and to better reflect the philosophy that the primary role of Ecology grant staff is to help grant recipients develop successful projects and applications. For more information on the minimum threshold score please see page 14.

Criteria for supplemental projects now reflect the new CPG Statewide Goals, as well as allow funding of “local priority projects.” The goals were developed with a great deal of input from local government grant recipients. For more information on the CPG Statewide Goals please see page 21. The decision process for supplemental awards has changed to include representatives from local government planning and health jurisdictions on the award committee. For more information on the supplemental award process please see page 27.

The period for supplemental grants will begin January 1, 2007 and will last until December 31, 2008. Supplemental grants are off-set from regular grants to increase the amount of funds that can be awarded to supplemental projects. For more information on the supplemental grant cycle please see Chapter 6.

Ecology has improved grant reporting and information sharing systems. The report forms have been updated with input from local government grant recipients. Although they are not exactly the same as the forms in the 2004-2005 CPG Guidelines, the forms have not changed significantly from the updated forms introduced during the 2004-2005 CPG cycle. Ecology is also developing an online reporting system, effective in 2006, that will allow recipients to learn about one another’s projects. For more information on reporting please see Chapter 7.

Other aspects of the grant program, such as the allocation formula for regular grants and the schedule for reporting, have not changed since the previous grant cycle.

## Deadlines

The timelines below contain key deadlines for the regular and supplemental grant cycles. For more detailed calendars of each grant cycle please see pages 13 (regular) and 28 (supplemental). The supplemental grant cycle will start a year later than the regular grant cycle. Please see Chapter 6 for more information on the timing of the supplemental cycle.

### 2006-2007 CPG Regular Cycle

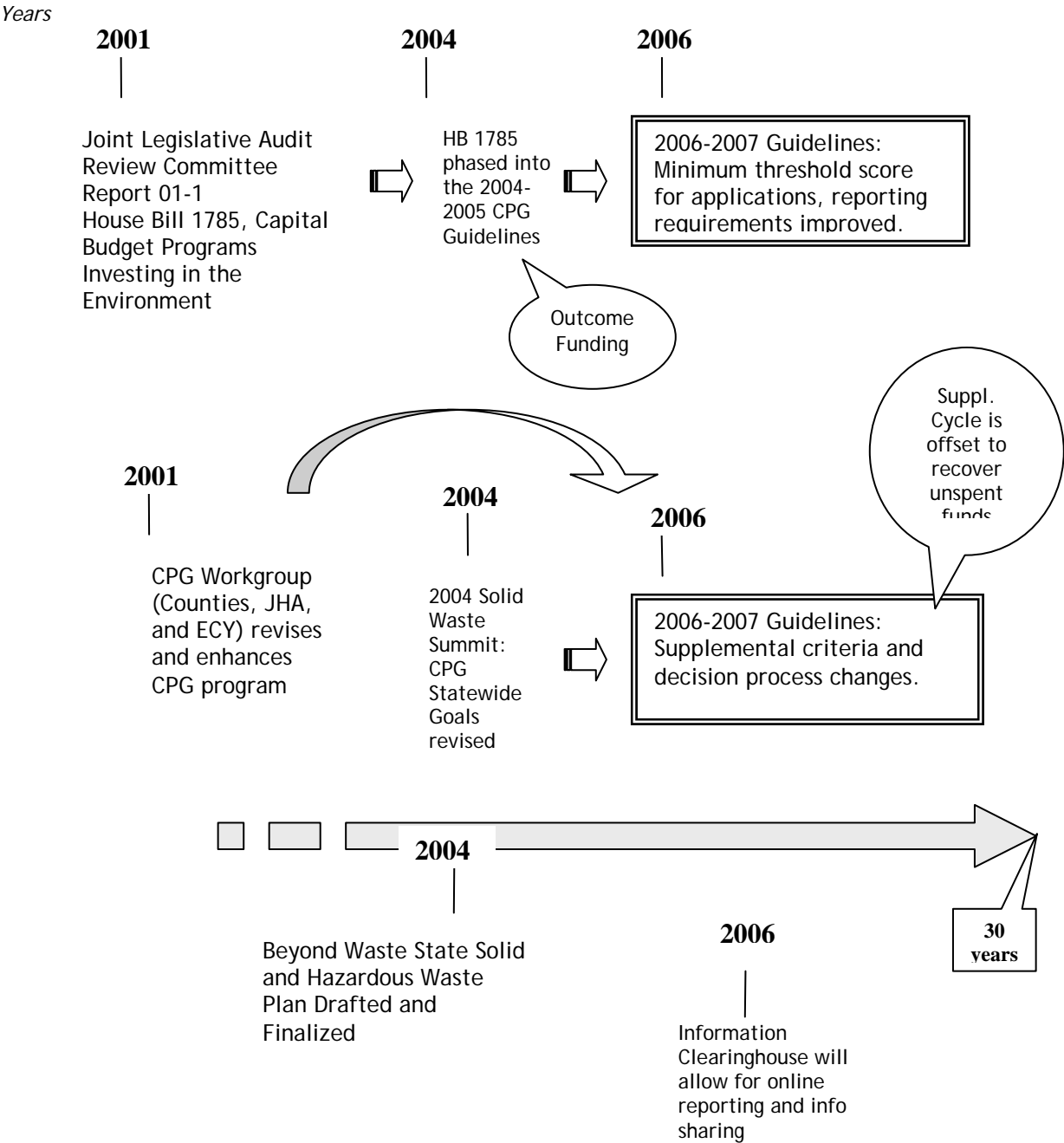
July 1, 2005:	Guidelines and application forms available
<b>September 2, 2005:</b>	<b>Grant applications due to Ecology</b>
September 16, 2004:	Applicants notified of application score
September 30, 2005:	Grant application rewrites due to Ecology
October 10, 2005:	Funding decision made; applicants notified
January 1, 2006:	Grant starting date
December 31, 2007:	Grant expiration date



## **2007-2008 CPG Supplemental Cycle**

July 1, 2005:	Guidelines and application forms available
<b>June 20, 2006:</b>	<b>Grant applications due to Ecology</b>
July 10, 2005:	Applicants notified of application score
July 25, 2006:	Grant application rewrites due to Ecology
September 15, 2006:	Funding award decision made; applicants notified
January 1, 2007:	Grant starting date
December 31, 2008:	Grant expiration date

# Significant Changes in the Coordinated Prevention Grant Program (2001-2007)



# **Chapter 2: Eligible Applicants and Projects**

## **Who can apply**

### **Jurisdictions Responsible to Implement Plans**

Local governments with current Ecology-approved Local Comprehensive Solid Waste Management Plans (planning authorities, including cities that are planning authorities) are eligible to apply directly for Solid and Hazardous Waste funds to help implement the activities identified in those plans. Local governments without current Ecology-approved Local Comprehensive Solid Waste Management Plans are eligible to apply directly for Solid and Hazardous Waste funds if updating the plans to current status is included as a task. Planning authorities may also apply for Solid Waste Enforcement (SWE) funds if they are designated as lead agencies for those activities (see Jurisdictional Health Authorities below).

### **Jurisdictional Health Authorities (JHAs)**

Local jurisdictional health authorities are eligible to apply directly for Solid Waste Enforcement funds. Their eligibility applies whether the county planning authority has fulfilled its planning requirements or not. JHAs may also apply for Solid and Hazardous Waste funds if designated as lead agencies for Solid and Hazardous Waste activities. See page 10 for JHA allocation information.

### **Cities in County Plans**

Generally, cities have authorized the county planning authority to prepare a plan for the respective city's hazardous/moderate risk and solid waste management as part of the comprehensive county plan. Cities without independent plans may receive funding for projects, but they may not apply directly. They must channel their request through the planning authority. Counties may elect to assign a portion of their allocation directly to a city and let the city negotiate a formal agreement with Ecology. This relieves the county from the responsibility for administering the funds, but it also ends the county's role in managing the use of the funds. Ecology encourages cities and counties to consider efficiency when deciding how many separate grant applications to submit.

Cities covered in county plans are eligible for a share of their county planning authority's funding allocation, in proportion to their share of the total county population. Please see the section on Application Coordination (below).

### **Non-Eligible Entities**

No special district, tribe, school, university, or government agency (other than those listed above) is eligible to apply directly for Coordinated Prevention Grants. Private businesses and citizen groups cannot receive Coordinated Prevention Grant funds. Eligible entities, however, may use grant funds to contract with private businesses or non-profits to implement their projects. Although non-eligible entities may not receive CPG funding directly from Ecology, these entities may partner with eligible recipients on CPG projects (See Administrative Requirements for Ecology Grants and Loans, WDOE 91-18, revised October 2000, Part V, Contracts, Property, and Records.)

## Application Coordination

Note: This section (Application Coordination) does not apply to health districts or health departments applying for Solid Waste Enforcement grants.

In addition to cities listed in the plan, special districts, councils of governments, and other governments have a right to ask for funding and are eligible to receive funding, but they must apply through their respective county. In addition, jurisdictional health authorities that have responsibility for solid waste programs may have their own grant. One way to coordinate grant projects in a jurisdiction is to discuss the grant application at the county's Solid Waste Advisory Committee (SWAC) meetings. Also, interlocal agreements between cities and counties in a jurisdiction should include provisions for coordinating funding.

Applicants are required to include documentation that all jurisdictions within their counties that signed on to the approved plan have been notified within a reasonable time, and that the jurisdictions have had the opportunity to request that their projects be included in the coordinated application. All eligible recipients in the jurisdiction must have reached agreement regarding requested projects and funding allocations, if not, 10% of allocated grant funding will be transferred to the statewide supplemental fund (WAC 173-312-060).

Documentation could be a copy of a letter notifying the jurisdictions of the availability of grant funds, an offer to consider requests for project funding, and a list of who received the letter. If a jurisdiction challenges an application, asserting that they did not have the opportunity for input, the application will be delayed until the applicant has shown they have fairly considered the jurisdiction's request.

## Eligible Coordinated Prevention Grant Tasks

All eligible projects fit into one or more of the following program tasks. Projects that fit into more than one task should be put in the task that provides the best fit, or be designated as "other."

1. Organics (ORG)
2. Green Building (GB)
3. Residential Waste Reduction and Recycling (R/WRR)
4. Commercial Waste Reduction and Recycling (C/WRR)
5. Moderate Risk Waste (MRW)
6. Solid Waste Enforcement (SWE)
7. Other

The first five tasks are for Solid and Hazardous Waste Implementation grants; the SWE task is for Solid Waste Enforcement grants. A *task* is an overarching category that should group your selected grant activities. A *project* is a specific activity within the task with a defined outcome. For example, a recipient may have an organics task that includes a public education and outreach , a compost bin distribution project and a wood chipping project. A task generally will not have a defined outcome, while a project will. The Application form, Annual Report form and Final Performance Analysis form ask for information about projects with outcomes, which are listed under one of the six task types (see Appendix C for the Application form and Appendix D for the Annual Report and Final Performance Analysis forms).

Examples of projects for task are included in the Annual Report form, and are also listed below. Eligible projects are NOT limited to those specified on this list. A grant recipient may have a project or task that fits into the category of “other,” or may have a project that combines one or more of the examples from the list.

## **Solid and Hazardous Waste Implementation Programs**

### **Organics Projects**

- Public Education and Outreach
- Home Composting
- Vermicomposting
- Food Waste Composting
- Municipal Composting
- Master Composter and/or Gardener
- Native Planting/Xeriscaping
- Mulching Mower/Grasscycling
- Natural Yard Care
- Curbside Yard Debris Collection
- Wood Chipping Operations
- Agricultural Waste Management and Technical Assistance
- Other

### **Green Building Projects**

- Public Education and Outreach
- Building Industry Education Program
- Green Building Codes and/or Policy or Incentives
- Building Material Reuse/Exchange
- Deconstruction
- Recycling/Processing Facility
- Demonstration Buildings
- Green Building Certification
- Green Built Recognition
- Other

### **Residential Waste Reduction and Recycling Projects**

- School Education and Outreach
- Public Education and Outreach
- Curbside Recycling
- Drop Box Recycling
- Multi-Family Recycling
- Special Collection Events
- Waste Exchange
- Waste Reduction
- Other

### **Commercial Waste Reduction and Recycling Projects**

- Commercial Education and Outreach
- School/Institutional Education and Outreach

- School Recycling Program
- Curbside Recycling
- Waste Exchange
- Market Development
- In-House (e.g. Walk-The-Talk)
- On-site Commercial Waste Audits
- Product Stewardship
- Other

### **Moderate Risk Waste Projects**

- Toxics Reduction Education and Outreach (except PBTs)
- Persistent Bioaccumulative Toxins (PBT) projects
- Fixed Facility
- Mobile or Satellite Collection
- Collection Events
- On-site Business Assistance
- Conditionally Exempt Small Quantity Generator Collection
- Electronic Waste
- Product Take-Back
- Other

### **Solid Waste Enforcement Programs\***

- Illegal Dumping Prosecution
- Illegal Dumping Prevention
- Illegal Dump Cleanup
- Animal Waste
- Enforcing Solid Waste Codes
- Permit Reviews
- Ensuring Compliance at Permitted Solid Waste Facilities
- Ensuring Compliance at Permitted Biosolids Land Application Sites
- Closed and Abandoned Landfills
- Oversight of Permit-Exempt Facilities
- Other

### **Other Programs**

Some projects, such as maintaining a Local Comprehensive Solid Waste Management Plan per RCW 7.95.110(1), or conducting a solid waste audit, may fit into more than one type of program. These projects would fall into this category. All projects must still be either Solid and Hazardous Waste Implementation projects or Solid Waste Enforcement projects.

In addition to meeting the CPG criteria and conforming to the Local Comprehensive Solid Waste Management Plan, all projects **MUST** meet Yellow Book eligibility requirements. A full version of the Yellow Book is available online at <http://www.ecy.wa.gov/biblio/9118.html>.

\* This list is still under development

# Chapter 3: Regular Cycle Fund Availability

## CPG Funding Sources

The Department of Ecology administers the CPG grant program through WAC 173-312, consistent with the Model Toxics Control Act (Chapter 70.105D RCW). This law, passed by voter initiative in 1988, established a tax on first possession of hazardous substances in the state. The availability and amount of funding depends upon legislative appropriations to the Account. Add something here about what other accounts used MTCA this time and the budget issues.

Ecology funds CPG grants, consistent with WAC 173-312-090, at a level of seventy-five percent (75%) of eligible project costs. The recipient provides a local cash match of twenty-five percent (25%). Local cash matches can be met by cash expenditures and interlocal costs.

Interlocal costs are the only type of in-kind contributions that can be used for a local cash match. Interlocal costs are contributions made to a project by another local government pursuant to a valid written agreement between the recipient and the other government. No other in-kind contributions may be used as a match.

Fund sources for local cash match can include:

- Local general tax revenues
- Solid Waste Fees
- Loans
- Federal grant funds
- Project income (when specifically permitted by the grant agreement)

## Available Grant Dollars for 2006-2007 Grant Cycle

There is a total of \$X available for CPG grants in the 2006-2007 funding cycle. Allocation determinations are set by WAC 173-312-080. Projected revenues to LTCA available each biennium for CPG purposes must be divided into two portions, 80% for solid and hazardous waste implementation grants and 20% for solid waste enforcement grants.

Although eligible recipients can receive up to the maximum allocation listed in Table 3-1, please do not apply for funding that you cannot use. If you do not apply for all of your funds, the remaining amount (“un-requested” funds) will be added to the total funds available for supplemental grants in 2007. Allocations to recipients are calculated as follows:

### Solid and Hazardous Waste Implementation Grants

Eighty percent (80%) of the total CPG allocation is divided among counties by means of a formula that consists of two elements (called *base-plus* funding):

1. A fixed amount (base) for each county (\$X in 2006-2007)
2. A per capita amount based on the county population size and the remaining dollars

Cities that are independent planning authorities and cities that coordinate with counties may receive funding up to the population per capita allocation for their city.

The total allocation for solid and hazardous waste implementation projects is \$X. For this grant cycle, the base amount per county is \$X and the per capita amount is \$X. County population figures per capita amounts are based on the Washington Office of Financial Management population forecasts as of April 1, 2004. Table 3-1 shows the solid and hazardous waste implementation awards by county.

### **Solid Waste Enforcement Grants**

Twenty percent (20%) of the total CPG allocation is allotted for Solid Waste Enforcement projects. The total available dollars are divided evenly among health jurisdictions, except health jurisdictions that represent more than one county will receive fifty percent (50%) more funding than single-county health jurisdictions.

The total allocation for solid waste enforcement projects is \$X. Each single-county jurisdictional health department can apply for \$X. Multi-county jurisdictional health departments can apply for \$X.

Jurisdictional health departments can also apply for Solid and Hazardous Waste funds, if designated as lead agencies for Solid and Hazardous Waste activities.

**Please note that CPG is not an entitlement program.** Local governments must submit a satisfactory application that meets eligibility requirements and priorities identified in their approved solid and hazardous waste management plans, and provide the required match. Please refer to the minimum threshold score on page 14 for more detail about satisfactory applications.



**Table 3-1 2006-2007 Solid & Hazardous Waste Implementation Project  
Funding Allocations by County**

COUNTY	2004 POPULATION	BASE AMOUNT	PER CAPITA AMOUNT (X)	BASE + PER CAPITA AMOUNT	TOTAL ALLOCATION
ADAMS ASOTIN BENTON					
CHELAN CLALLAM CLARK					
COLUMBIA COWLITZ DOUGLAS					
FERRY FRANKLIN GARFIELD					
GRANT GRAYS HARBOR ISLAND					
JEFFERSON KING KITSAP					
KITTITAS KLICKITAT LEWIS					
LINCOLN MASON OKANOGAN					
PACIFIC PEND OREILLE PIERCE					
SAN JUAN SKAGIT SKAMANIA					
SNOHOMISH SPOKANE STEVENS					
THURSTON WAHKIAKUM WALLA WALLA					
WHATCOM WHITMAN YAKIMA					
<b>TOTALS</b>					



# Chapter 4: Regular Cycle Criteria and Application Process

## Regular Cycle Application Period and Calendar

The Coordinated Prevention Grant program operates on a two-year cycle. For the 2006-2007 funding cycle, regular grants begin on January 1, 2006 and expire on December 31, 2007.

Applications will be accepted July 1 through September 2, 2005. Applications must be received by your regional grant officer by 5 pm on September 2<sup>nd</sup> via e-mail or hard copy. If you submit your application via e-mail you must also send a hard copy of the cover sheet (form CPG-X) with an original signature to your regional grant officer by September 30, 2005.

If you do not submit an application to Ecology by September 2, 2005, we will not be able to consider your application unless special arrangements have been made prior to the deadline. Re-writes of grant applications that did not initially meet the minimum threshold score must be received by your grant officer by September 30, 2005 or those projects requiring a re-write will not be considered for funding. However, because the supplemental cycle is offset, you can submit a proposal for the supplemental grant cycle in 2006 if you wish (this proposal will then compete for funding with other supplemental grant applications). Ecology awards all available funds at the beginning of each grant cycle and therefore we typically cannot fund emergency grants. Add something here about two different allocation amounts

Do not submit a supplemental grant application at the same time you submit your regular grant application. Ecology is offsetting the supplemental grant process from the regular grant process. Please see the Supplemental Calendar on page 28 for more information.

**Table 4.1 2006-2007 CPG Regular Cycle Calendar**

July 1, 2005	Guidelines and application forms sent to local governments – hard copy, electronically, and posted on Ecology's website.
July 1 through September 2, 2005	Application period for regular projects. Recipients develop projects with assistance from Ecology staff.
<b>September 2, 2005</b>	<b>Applications due to Ecology regional grant officer.</b>
September 16, 2005	Recipients notified of the minimum threshold score for their application.
September 16 - 30, 2005	Ecology Grant Officer works with recipients to rewrite any applications that do not meet the minimum threshold score.
<b>September 30, 2005</b>	<b>Final applications meeting the minimum threshold score due to Ecology regional grant officer.</b>
October 1 through December 31, 2005	Grants negotiated and written.
January 1, 2006	Grant starting date.
April 1, 2006	Grants must be executed (signed by both parties) by this date or funding may be revoked.
Various Dates	Progress Reports due. Due dates vary based on negotiated reporting terms in each agreement. Reports are due 30 days after a respective billing period ends. Unless otherwise specified in the grant agreement, reports are due quarterly.
February 15, 2007 February 15, 2008	Annual Reports due. The recipient will work with their Grant Officer to complete these reports.
December 31, 2007	Grant expiration date.
February 15, 2008	Final Performance Analysis due.

## Minimum Threshold Score

To maintain consistency with JLARC and HB 1785, applicants need to show they have defined project outcomes, have met a minimum threshold score, and are ready to proceed in order to be granted funds. Ecology does not anticipate that any applicant will not be able to meet the minimum threshold score, **as the score will be based on completeness of the application.** Ecology has changed the application time frame to allow more time for grant officers to help recipients resubmit applications that do not meet the minimum threshold score.

All applications must include responses about the following for each *task* (for example, an organics task):

- Summary program description – one short paragraph about the program and supporting project elements.
- What section of your Local Comprehensive Solid Waste Management Plan does this fit with? – page or section specific.
- Budget – total cost and how many CPG dollars you want.

In addition, the following sections must be filled out for each *project* (for example; an organics task may contain a home composting project, a mulching mower project and a chipping project). If there is a task without multiple projects this information must be filled out as well (please see page 16 for more detailed information on how to separate projects and tasks and sample applications located on page X).

- Descriptive title of each project
- Goal statement --Description of the problem to be solved – what is the need (goal)?
- Target audience – who does this serve/who are you going to reach (including the estimated size of audience)?
- Work Plan (major steps and activities) – what steps are you going to take to accomplish your outcomes? Include a timeline sketch with these steps.
- Outcome statement – what are environmental or community result are you going to achieve by doing this project?
- Method of measurement: How are you going to learn from your project and evaluate progress?
- Which CPG Statewide Goal does your program relate to? (This is optional for regular grants. See Chapter 5 for more information).

### **Scoring:**

Each of the above requirements will be scored with the following criteria:

- No answer – 0 points
- Answer is not clear or logical – 1 point
- Answer requires a discussion or needs more information – 2 points
- Answer is complete or only needs minor changes – 3 points

Ecology grant officers will total up the points for all sections of each application. Any project with a score that is missing 2 or more points from the total possible will be sent back for work on any section that scored less than 3 points. Applicants getting perfect scores or only missing 1 point may still get clarifying questions from grant officers, but do not need to submit any further information for that project to receive the requested budget amount.

Each application will be scored by two members of Ecology's grant staff. Applicants may ask to speak with a grant officer at any time for assistance or clarification about their score or responses. Any project that still does not meet the minimum threshold score after being re-written will not be funded. The portion of the grant allocation budgeted for such projects will be removed from the recipient's allocation and assigned to the supplemental grant fund. If you submit more than one project, your score for one project will not affect the score or funding for any other project in your application.

## **Setting Goals, Writing Outcome Statements, and Measurement**

The JLARC requirements have changed the way Ecology accepts applications from eligible jurisdictions. We are now required to demonstrate that the funding we distribute to recipients produces results and increases learning about strategies in local projects.

**Ecology believes that supporting local governments in Waste Reduction and Recycling, Moderate Risk Waste and Solid Waste Enforcement projects is our first priority and we are committed to assisting your projects meet these legislative requirements.** However, we are unable to fund any projects that do not have a specific goal in mind or a mechanism to demonstrate project results (note: these results are not required to be of a certain type or have a certain level of success).

Three new elements of the application include: **a goal statement, an outcome statement, and a method of measurement.**

**Note to those who consider their application “ongoing” work rather than distinct projects:** Your application should also be able to provide a goal statement, outcome statement, and method of measurement. The best way to apply for ongoing work is think of your ongoing work as supporting a goal (in your comprehensive solid waste management plan). Identify what that goal is and focus on how your supporting work helps you achieve that goal. ***You do NOT need to have separate project descriptions for each element of work that you do, such as hotline maintenance, responding to calls, working with recycling haulers.*** Instead, those are eligible activities to bill for under the WRR goal associated with your local plan.

## **Goals**

Goals are statements of what the applicant intends to affect and/or the problem that needs to be solved. The goal needs to include the ‘who’ (actor), the ‘target population’ (beneficiary or audience), and the ‘how’ (what issue are you addressing) in the statement.

An example of a goal: *Washington State County seeks to improve the health of children by eliminating the use of pesticides and other toxins on their playgrounds.*

- Who: The actor is Washington State County.
- Target population: The children of Washington State County.
- Specifically how: They are going to eliminate the use pesticides and other toxins on their playgrounds.

## **How do I write a Goal Statement?**

1. Identify the problem. Try and be as specific as possible. A specific goal will help identify whether you made a difference when the project is complete.
2. Identify who the problem affects. Is it the whole county or only people in a certain area or population group? (i.e. English as a Second Language, home builders, youth, etc).
3. List ways that you want to change the problem. For instance, do you want to make things safer, more convenient, more efficient, cleaner, or more productive? Pick what you think are your top one or two.

## **When do I need to write a Goal Statement?**

We recommend that you write a goal statement every time you have a distinct project. The grant could potentially incorporate various project goal statements into one overarching program goal statement, but it is fairly difficult to do this well. You are NOT required to write a goal statement for each task you apply for.

## Outcome Statements

An outcome statement makes an educated guess about what sort of results the project might achieve.

Your outcome statement should be directly related to your goal. For instance, if your goal is to eliminate the use of pesticides and toxins in playgrounds, your outcome statement would need to make a statement that describes **how much** your project will reduce pesticides and toxins. The results you propose can be based on previous years or grants, data from other counties, or articles that you might use to make a guess. You can also use different types of projects to guess on participation response rates or enforcement success, for example.

### What is included in an Outcome Statement?

As much as possible, your outcome statement should include the **numbers and units** that will result from your efforts. These should be based on what data you can and are able to measure.

Outcomes are not process statements, such as, “*Washington State County plans on distributing 300 brochures.*” While this is an important **step** to take, it is not what you achieved. What you achieved is something that happens once someone reads the brochure.

For example: “*10% of new Washington State County residents who receive our Household Hazardous Waste brochure will decide to call our hotline for information about our facility.*”

- The **outcome number** is 10% of new Washington State County residents.
  - So now you need to find out how many people are new Washington State County residents.
  - Multiply that by 10%. This is now the **number** of people you want to call into your hotline.
  - Verify that this is a reasonable number and adjust if necessary.
- You are **able to measure** the outcome number by tallying how many new callers you get on your hotline.

On occasion, the two year timeline will only allow for a single phase of a project. You may describe the outcomes for this single phase of the project with the long term objectives in mind (such as a pilot study report). The application should clearly link the success of the single phase of the project with the long term objectives. The applicant should also have a plan on how they will complete the full phase of the project.

Sample outcomes for CPG activities are in the table in Appendix B. These sample outcomes are merely suggestions; they are not required outcomes for a particular project.

## Measurement

In addition to making goals and predicting their results, applicants must describe how they will find out what sort of results they achieved. Measurement counts your progress towards the number and units in your outcome statement. **Ability to reach that number does not impact future grant awards in any way.** Ecology expects recipients to adopt whatever methods are most successful over time. Tracking success or failure of specific approaches will inform projects statewide, and help us to learn how to be most effective.

If you decide that you need to redo your outcome statement and measurement method during the project, you can work with your Grant Officer to amend the grant. You may also need to revise your work plan in order to achieve your outcome and goals based on mid-project results.

### **How Do I Measure an Outcome?**

An outcome needs to be measurable with a reasonable amount of effort. If you have no data or baseline information you may need to choose another type of measure, or you can plan to collect this data as part of your project. Some information may be available through Ecology, please contact your grant officer for assistance.

Sample ways you can measure outcomes include:

1. Pre-testing/ post-testing
2. Random surveys
3. Collecting quantitative data (waste generation, weight, volume, sales data)
4. Participation in a behavior related to your outcome (curbside composting or recycling, recycling drop-off, event participation)
5. Counting the number of responses or actions

### **How and why should I plan time and \$ to do evaluation?**

Evaluation helps make the case that CPG is an important way to achieve environmental results. Evaluation is a way for you to learn from your projects and efforts, thereby saving time and money in the future. Evaluation also helps other counties replicate successful strategies or learn about what did not work as planned. Ecology plans to use the Information Clearinghouse to share this information (please refer to page 32 for more on the Information Clearinghouse).

Ecology believes that measuring an outcome should take no more than 10%-15% of your budget. If the project is brand new or a pilot, sometimes it takes more effort to do evaluation. Other counties have evaluation ideas that you can learn from too or you can collaboratively pay to evaluate similar programs in several counties. Contact your grant officer if you need assistance in finding these ideas or partnerships.

## **Application Forms**

The 2006-2007 CPG Regular Cycle Application Forms are designed to contain only the information needed to write a complete grant agreement. Application forms are located in Appendix C and examples of completed application forms are located in Appendix E. The following checklist is a useful tool to use when developing a grant application.

### **CPG Grant Application Checklist**

- ☐ Read this document (CPG Guidelines) and note the deadlines and any questions you might have.
- ☐ For planning jurisdictions only: coordinate within your county with other eligible recipients (documentation required, see page 6). Solicit grant program/project ideas and determine which, if any, recipients in your county will be receiving a separate grant agreement.

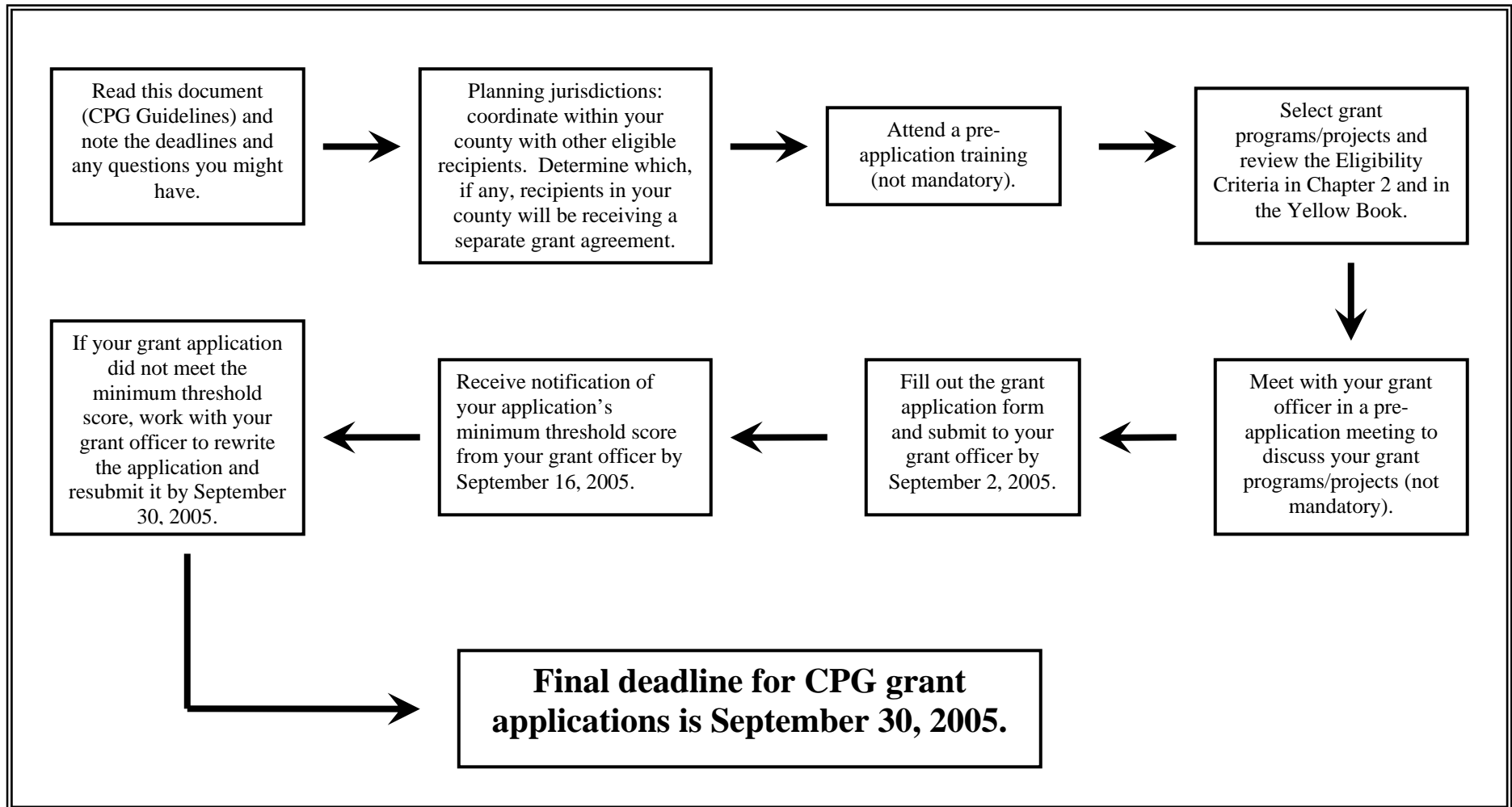


- ☐ Attend pre-application training (not mandatory). Trainings will be held at the following locations:

Date	Location	Time
July 14, 2005	Ephrata	TBD
July 20, 2005	Lacey	TBD
July 21, 2005	Everett	TBD

- ☐ Select grant programs/projects and review the Eligibility Criteria on page 6 and in the Yellow Book.
- ☐ Meet with your grant officer in a pre-application meeting to discuss your grant programs/projects and receive assistance from Ecology (not mandatory).
- ☐ Fill out the grant application forms (CPG-X, CPG-Y and CPG-Z).
- ☐ Submit your complete application forms to your grant officer (see page iv) by September 2, 2005 (you may chose to submit your application electronically via e-mail; however, a signed form CPG-X must be submitted as a hard copy).
- ☐ Receive notification of your application's minimum threshold score from your grant officer by September 16, 2005.
- ☐ If your grant application did not meet the minimum threshold score, work with your grant officer to rewrite the application.
- ☐ Resubmit your grant application, if necessary, by September 30, 2005.
- ☐ Receive final contract from your grant officer, sign the contract and return it to Ecology within 45 days.

## CPG Grant Application Process



## Chapter 5: CPG Statewide Goals

In June 2004 Ecology hosted the third Statewide Solid Waste Summit, titled “Setting the Course for the Future.” The Summit agenda focused on four main priorities: to build partnerships between local governments and Ecology, to celebrate and recognize success, to develop statewide goals for the Coordinated Prevention Grant (CPG) program and to identify statewide priority issues in solid waste. For more information about the Summit, including the meeting notes, please see Ecology’s website (<http://www.ecy.wa.gov/programs/swfa/summit.html>). For more information about the Beyond Waste Plan please visit the Beyond Waste website at <http://www.ecy.wa.gov/beyondwaste/>.

One of the primary products from the 2004 Summit was a list of statewide goals for the CPG program. The CPG Statewide Goals provide an outline for those applying for supplemental funding.

The CPG Statewide Goals are primarily a tool to track the accomplishments of the CPG program and to identify areas that need additional support. The draft versions of the CPG goals were created with extensive collaboration between Ecology and CPG Recipients.

In the past, the CPG program has encouraged grant projects, particularly supplemental projects, which support ‘sustainability’ efforts. Sustainability is the ability to address critical environmental, social and economic issues in a way such that we do not substantially reduce the earth’s ecological health. Any grant project that is submitted should consider long term environmental, social, and economic impacts in the local jurisdiction. The Beyond Waste State Plan is a blueprint for moving sustainability forward in Washington State. The CPG program considers any project that is consistent with the CPG Statewide Goals to also be consistent with the Beyond Waste State Plan. From now on Beyond Waste and the CPG Statewide Goals will be the focus of ‘sustainability’ efforts related to CPG.

### CPG Statewide Goals

#### Moderate Risk Waste

##### Short Term (5 years):

1. 5% reduction in MRW (HHW and CESQG waste) generation per capita
2. 50% of county governments have MRW-related Environmentally Preferable Purchasing policies in place
3. 90% of MRW collected is reused, recycled, or burned for energy recovery
4. 95% of WA residents live within 20 miles of an MRW collection site or service
5. 100% of counties are served by an education program for households and CESQGs that addresses PBTs and encourages toxic use reduction
6. 100% of motor oil collected is reused, recycled or burned for energy recovery
7. 50% of counties have updated their local hazardous waste plan since January 1, 2000
8. 75% of HHW facilities accept mercury containing devices

##### Long Term (30 years):

9. 100% of residents have access to electronics recycling without end-of-life fees
10. 100% of vehicle batteries are collected

## **Organics**

### Short Term (5 years):

1. 1 food waste collection program has taken place in each region
2. 3 pilot programs are run to develop sustainable practices for commercial food processors
3. 1 pilot or demonstration project in each region is run for a local government to integrate the use of organic materials into standard practices for public works projects, such as storm water management and erosion control

### Long Term (30 years):

4. Organic waste reduction and recycling programs result in food waste comprising less than 10% of MSW disposed of in landfills and waste-to-energy facilities
5. Organic waste reduction and recycling programs result in yard waste comprising less than 2% of MSW disposed of in landfills and waste-to-energy facilities
6. 95% of residents have access to an organics recycling program
7. 20 counties are served by integrated education on natural yard/garden care at a public venue (e.g. demonstration gardens).

## **Green Building**

### Short Term (5 years):

1. A residential green building education program is available to developers, contractors, builders and local governments in 15 counties
2. Incentives have been adopted for green building in 15 jurisdictions statewide (at least one jurisdiction in each region)
3. 15 jurisdictions have programs to promote the purchase of green homes and the use of green building features
4. 10 jurisdictions have available and are promoting a green remodeling toolkit
5. One local government has developed a pilot program to track the increase in green building activities in its jurisdiction
6. 20 jurisdictions develop deconstruction and building material reuse exchange programs in partnership
7. 2 new C&D reuse and recycling facilities are in operation

### Long Term (30 years):

8. Residential and commercial green building education programs are available to developers, contractors, builders and local governments in every county in Washington
9. 30 jurisdictions have programs to promote the purchase of green homes and the use of green building features
10. 10 jurisdictions are tracking the increase in green building activities

## **Solid Waste Enforcement**

### Short Term (5 years):

1. All closed landfills permitted under WAC 173-304 or WAC 173-351 are in compliance with their post-closure requirements
2. All operating solid waste handling facilities are in compliance with regulations and permit conditions, or an approved compliance schedule
3. A method is developed that can be used by all jurisdictions for inventorying abandoned dumps and landfills and identifying hazards associated with each site
4. 10 jurisdictions have completed inventories of abandoned dumps and landfills using the statewide method (see Short Term Goal #3)

Long Term (30 years):

5. All jurisdictions have identified hazards associated with abandoned dump sites and landfills using the statewide method (see Short Term Goal #3)

**Waste Reduction and Recycling** (note – many MRW, Organics and Green Building goals are also Waste Reduction and Recycling goals).

Short Term (5 years):

1. All counties are served by a WRR education program of some sort

Long Term (30 years):

2. 60% of MSW is recycled or diverted rather than disposed
3. MSW generation is less than 4 pounds per person per day
4. Every jurisdiction has an Environmentally Preferable Purchasing program

**Other**

Short Term (5 years):

1. 10 model education projects, including tools for assessing the impact of the project, are developed and implemented
2. Three multi-jurisdictional collaborative projects
3. Three model illegal dump prevention projects are developed and implemented
4. Take-back infrastructure is in place for 5 products

Long Term (30 years):

No long-term goals at this time

Ecology encourages local government grant recipients to align their solid waste management plans and CPG projects with the CPG Statewide goals. However, this is not a requirement for funding **regular** CPG projects. *Individual jurisdictions are not responsible for tracking progress, implementing the CPG Statewide Goals, or meeting the percentage noted in the list above.* Ecology will track statewide progress toward the CPG Statewide Goals, and will share the results with grant recipients.

Please see the supplemental project application section in Chapter 6 for additional information about supplement project requirements.



# Chapter 6: Supplemental Cycle Criteria, Application, and Award Process

## Supplemental Funding Allocations

CPG funds are distributed to recipients that request their full or partial allocation in the ‘regular cycle.’ Funds not requested in the regular cycle are available for supplemental funding. In addition, funds that are not spent during the regular cycle will also become available for supplemental grants (see page 27 for more information).

CPG allocations are divided between Solid and Hazardous Waste Implementation grants and Solid Waste Enforcement grants. Un-requested Solid and Hazardous Waste Implementation funds will first go to Solid and Hazardous Waste Implementation supplemental projects. Un-requested Solid Waste Enforcement (SWE) funds will first go to Solid Waste Enforcement supplemental projects. Once all eligible projects have been considered for funding from each type of grant, both public works and solid waste enforcement applicants may apply for the remaining funds.

## 2007-2008 Supplemental Criteria

Note: In addition to meeting the criteria for supplemental funding, all applications must meet the minimum threshold score described on page 14.

### Solid Waste Enforcement Supplemental Grants

Solid Waste Enforcement projects meet the definition of an “enforcement” project (see Appendix A) and are submitted by a Jurisdictional Health Authority.

During 2007, two types of Solid Waste Enforcement projects will be considered for supplemental funding: **‘CPG Goal Projects’** and **‘Local Priority Projects.’** **‘CPG Goal Projects’ will be considered for funding before ‘Local Priority Projects’ in most cases.**

The first eligible SWE supplemental category is **‘CPG Goal Projects.’** These are projects that align with the statewide CPG goals, developed at the 2004 Summit. (see pages 21-23 for a list of goals). These enforcement grants must still provide outcomes and a method to measure success. SWE grants can include prevention or education projects.

The second eligible SWE supplemental category is **‘Local Priority Projects.’** These are projects that have an immediate solid waste enforcement need as defined by the applicant. These projects must include a compelling reason why they should be funded. Applicants will also need to describe expected outcomes for these projects.

### CHECKLIST SUMMARY OF SWE SUPPLEMENTAL CRITERIA:

Minimum eligibility criteria:

- ☐ Solid Waste Enforcement project
- ☐ Applicant is a Jurisdictional Health Authority\*
- ☐ Meets minimum threshold score

Minimum project criteria:

- ☐ Meets a CPG Statewide Goal OR is a Local Priority Project
- ☐ Defined outcomes

*\*Except on case by case basis.*

## **Solid and Hazardous Waste Implementation Supplemental Grants**

Solid and Hazardous Waste Implementation projects are projects that address organics, green building, residential waste reduction and recycling, commercial waste reduction and recycling, moderate risk waste, or other (planning) activities (described on pages 6-8) and are submitted by a Public Works Department.

Two categories of public works projects will be considered for supplemental funding: ‘**CPG Goal Projects**’ and ‘**Local Priority Projects**’. ‘CPG Goal Projects’ will be considered for funding before projects that ‘Local Priority Projects’ in most cases.

The first eligible Solid and Hazardous Waste Implementation supplemental category is ‘**CPG Goal Projects**.’ These are projects that align with the statewide CPG goals, developed at the 2004 Summit. (see page 21 for an explanation). These projects must still provide outcomes and a method to measure success.

The second eligible Public Works supplemental category is ‘**Local Priority Projects**.’ These are ongoing projects that do not fall within a CPG Statewide goal. These projects must include a compelling reason why they should be funded. Applicants will also need to describe expected outcomes for these projects.

## **CHECKLIST SUMMARY OF SOLID AND HAZARDOUS WASTE IMPLEMENTATION SUPPLEMENTAL CRITERIA:**

Minimum eligibility criteria:

- ☐ Solid and Hazardous Waste Implementation program
- ☐ Applicant is Public Works Department\*
- ☐ Meets minimum threshold score

Minimum project criteria:

- ☐ Meets a CPG Statewide Goal OR is a Local Priority Project
- ☐ Defined Outcomes

*\*Except on case by case basis.*

## **2007-2008 Supplemental Funding Decision Process**

### **Supplemental Application Acceptance**

Applications that meet the above criteria must also pass the minimum threshold score. This minimum threshold score is based on completeness of the application. If the application is not complete, an Ecology grant officer will contact you about missing information by July 10, 2006. Applicants then can choose to resubmit the application with changes by July 25, 2006. Ecology grant officers are available to provide assistance with the re-submittal process. Please see page



14 for more information about the minimum threshold score. Supplemental application forms are virtually identical to the regular cycle application forms. The application forms for supplemental grants are located in Appendix C.

If you do not submit an application to Ecology by June 20, 2006, we will not be able to consider your application unless special arrangements have been made prior to the deadline. However, because the supplemental cycle is offset, you can submit a proposal for the regular grant cycle in 2007 if you wish. Ecology does not typically fund emergency request projects during the two year period.

### **Supplemental Award Committee**

After July 25, 2006 all accepted applications will be sent to the Supplemental Award Committee. The Award Committee will be made up of four Ecology regional grant officers, four public works local government representatives, and four jurisdictional health representatives. Award Committee members will be selected by the Solid Waste Policy Forum, the Environmental Health Directors, and Ecology. The Award Committee will assess the application and gather further information about the project if necessary. To find out more about this committee, please contact your grant officer.

### **Decision Process**

The Supplemental Award Committee will meet between August 1 and August 15, 2006. Each Award Committee member will place the applications into a high, medium, or low priority group. The high priority project group will be funded first, the medium priority group second, and the low priority group third. In addition to the minimum criteria for funding, the Award Committee will use the following criteria to assess applications. These criteria are not listed in any particular order. The Award Committee will release additional information about the process for using the criteria to determine funding by March 1, 2006. Applicants for supplemental grants should strive to meet as many of these criteria as possible:

1. defined outcome: the expected outcome is clear and easy to understand
2. potential for lessons learned: the project has the potential to provide valuable information or serves as an example or pilot project (this is not limited to education projects)
3. return on investment: the project uses funds efficiently and/or provides significant outcomes
4. partnership/coordination: the project involves multiple partners, such as more than one grant recipient, or a recipient partnering with another organization or entity
5. need: the project meets an important need, locally or statewide

The Supplemental Award Committee will submit the grant award recommendations to the Solid Waste and Financial Assistance Program Management Team (PMT) by September 1, 2006. PMT will make the final decision about whether or not to approve the recommended allocation of funds to the projects by September 15, 2006. Before final approval, PMT will assess whether there are any projects that conflict with the supplemental criteria.

Applicants will be notified on September 15, 2006 of their award status. If a recipient chooses not to accept the award, the next project in the ranking will be funded. Grants will go into effect on January 1, 2007, and end December 31, 2008. This information is also displayed in the flowchart and timeline (refer to pages 28-30)

## 2007-2008 CPG Supplemental Cycle Calendar

July 1, 2005	Guidelines and application forms sent to local governments – hard copy, electronically, and posted on Ecology’s website.
January 1 through March 1, 2006	Supplemental Award Committee selected by Solid Waste Policy Forum, Environmental Health Directors and Ecology. Committee develops process for using supplemental criteria to award funds.
March 1, 2006	Ecology staff sends a reminder and additional information on the supplemental award process to local governments.
March 1 through June 20, 2006	Local governments develop projects and complete application forms with assistance from Ecology staff.
<b>June 20, 2006</b>	<b>Applications due to Ecology regional grant officers by 5 pm.</b>
June 20 through July 10, 2006	Ecology staff review applications. Applications that do not meet the minimum threshold score are sent back to the local government for rewriting.
July 10 through July 25, 2006	Local governments rewrite applications if necessary. Ecology staff provides technical assistance with rewrites.
<b>July 25, 2006</b>	<b>Revised applications meeting the minimum threshold score due to Ecology regional grant officers by 5 pm.</b>
August 1, 2006	Applications that meet the minimum threshold score are compiled by Ecology and sent to the Supplemental Award Committee members.
August 1 through August 15, 2006	Supplemental Award Committee members review grant applications.
August 15 through September 1, 2006	Supplemental Award Committee meets (one all-day meeting) to decide on supplemental funding recommendations. The recommendations are sent to Ecology’s management team for final approval.
September 15, 2006	Ecology’s management team makes the final decision about whether or not to approve the supplemental funding recommendation.
September 15 through December 31, 2006	Supplemental applicants notified; grants negotiated and written.
January 1, 2007	Supplemental grant starting date.
Various Dates	Progress reports due. Due dates vary based on negotiated reporting terms in each agreement. Reports are due 30 days after a respective billing period ends. Unless otherwise specified in the grant agreement, reports are due quarterly.
February 15, 2008 February 15, 2009	Annual Reports due. The recipient will work with their Grant Officer to complete these reports. These reports are the same reports due for the regular grant cycle. Recipients will only fill out one annual report each year, including both regular and supplemental grant projects.
December 31, 2008	Grant expiration date.
February 15, 2009	Final Performance Analysis due.

## Multi-Phase Supplemental Projects

Some awarded CPG money always remains unspent at the end of each regular grant cycle. This unspent money was historically returned to the Local Toxics Control Account, not to other projects that could benefit from additional funding. We now have authority to reallocate those unspent funds to jurisdictions for projects which have an existing grant agreement with Ecology. Ecology will use a portion of *supplemental* funds as ‘seed money’ for a limited number of projects. These projects will receive a combination of traditional supplemental funds and unspent funds in two phases. **This next section affects only these Multi-Phase Supplemental Grants.**

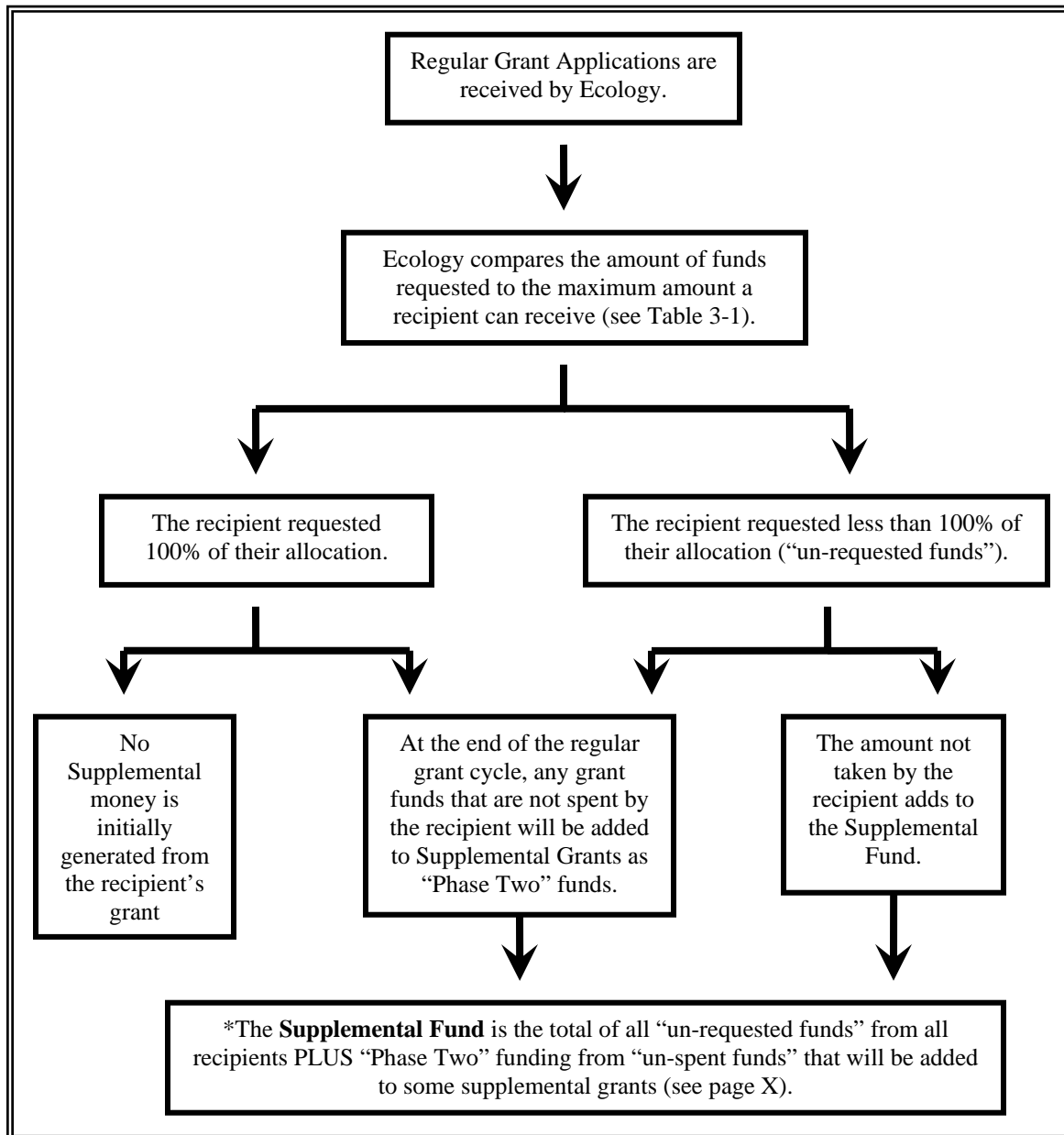
Phase One will consist of traditional supplemental money at a level of at least 25% of the total grant award; Phase Two will fund the remaining grant award. The grant agreement will include a scope of work for both phases of funding. However, the recipient will not be responsible for the scope of work for Phase Two until their grant is amended to include Phase Two funding in early 2008. The purpose of the amendment is to add funding for Phase Two using unspent money from the statewide regular grant cycle.

Eligible work may be done at any time during the grant though you will only be able to receive payment for the Phase One budget until the grant is amended. However, for your accounting purposes, you may submit billings as needed. After the grant is amended with the Phase Two budget, you will receive payment for all eligible costs. Recipients will need to ensure that they are able to receive funding in two phases before accepting the grant award. Ecology grant officers should be informed of the recipient’s ability to accept this type of award as soon as possible.

### SUMMARY TIMELINE OF MULTI-PHASE SUPPLEMENTAL PROJECTS

October 31- December 31, 2006	Supplemental Grants written.
January 1, 2007	Recipient receives final grant agreement and Phase One funding.
December 31, 2007	Ecology receives unspent funding from closed regular grant agreements.
February 15, 2008	Recipient receives funding for Phase Two through an amendment. All eligible work from January 1, 2007- December 31, 2008 can be billed to the grant.
December 31, 2008	Grants expire.

## How CPG Supplemental Money is Generated



\* Funding from Solid Waste Enforcement grants goes first to other Solid Waste Enforcement projects. Funding from Solid and Hazardous Waste Implementation grants goes first to other Solid and Hazardous Waste Implementation projects. See page 25 for more information.

## Chapter 7: Reporting Requirements

There are three layers of monitoring in these grants. (1): The **Progress Reports** that are attached to payment requests (invoices), (2): the **Annual Report**, and (3): the **Final Performance Analysis** that is a required summary of each project funded by the grant. These requirements apply to both regular and supplemental grant agreements. Failure to comply with reporting requirements can result in Ecology withholding payment and/or amending or terminating the grant agreement (see Appendix F: Terms and Conditions).

### Progress Reports

The **Progress Reports** include a brief description of progress towards the goals and activities conducted in the timeframe of the payment request. Recipients are not expected to include any activities that were not funded by CPG in their progress report. Progress reports meet accounting and administrative requirements for processing invoices and must accompany each payment request. Unless the grant agreement specifically states otherwise, progress reports are due within 30 days of the end of each quarter. Progress reports are not required after the final payment request is submitted (when grant funds are completely spent). The progress report form has not changed significantly since the last grant cycle. Jurisdictional Health Authorities (JHAs) may choose to use the SWE Report Form in lieu of the Progress Report Form. Progress Report Forms are in Appendix C.

### Annual Report – optional?

This report form is designed to collect information about solid waste programs offered in each jurisdiction, including those not funded by CPG. This information will be used to create a more comprehensive picture of solid waste programs statewide. Your Ecology grant officer will assist you in filling out the Annual Report form; the form is due by February 15<sup>th</sup> of each calendar year. **An additional SWE Annual Report Form is required for Jurisdictional Health Authorities.** This form collects data about traditional solid waste enforcement activities. Recipients are expected to complete this form each year, regardless of the amount of available funding remaining in the grant. Recipients are only required to report on programs and projects that received grant funding during the two-year grant cycle. Annual reporting forms are found in Appendix C.

### Final Performance Analysis

The **Final Performance Analysis (FPA)** is a summary for *each project* listed in the grant. There may be several projects listed in each task in the grant.

The grant Recipient only needs one FPA Coversheet, but separate FPA Project Analysis Worksheets are required for each individual project. The worksheets need to show the outcomes of each project and evaluation (successes and discussion) of each. Your Grant Officer can help determine which projects need to be evaluated. The information collected on the FPA will be used to share program information and expand learning statewide, and to satisfy JLARC requirements.

The FPA is due by February 15, 2008 for regular grants and February 15, 2009 for Supplemental grants. Final Performance Analysis forms are in Appendix C. Recipients are expected to report

on all activities and costs for the two-year grant cycle for all projects that are CPG funded, even if CPG does not pay for the full 75% of the cost for each project.

## **Submittal of Reports and Information Sharing**

Ecology is currently working to develop an online reporting and information sharing website, called the Information Clearinghouse. The Information Clearinghouse is currently scheduled to be complete in early 2006. This system will allow local governments to enter Annual Report forms (optional) and Final Performance Analysis (required) forms online. If you do not have access to the Information Clearinghouse you can submit these forms as hard copies to your Grant Officer.

The Information Clearinghouse will also allow local governments to look up information about other jurisdictions' programs and to share program resources and tools with one another. You will receive more information and training on the new system as it becomes available.

# **APPENDIX A**

## **Glossary of Terms and List of Acronyms**





# Glossary of Terms

**Agreement** means the formal written contractual arrangement, signed by the authorized official(s) of the Recipient and Ecology, which details the terms of the grant or loan. It includes, at a minimum, an approved scope of work, expected outcomes, total project costs, funding percentages, eligibility criteria, budget and performance schedule.

**Allowable Costs** are costs included in the categories of allowable costs detailed in Part II of the Administrative Requirements for Ecology Grants and Loans, WDOE 91-18.

**Amendment** means a written document, signed by the authorized official of Ecology, which details the changes or revisions to the original terms of the grant or loan. There are two types of amendments allowed—letter and formal. (*See the Administrative Requirements for Ecology Grants and Loans, WDOE 91-18, for detailed information.*)

**Authorized Official** is a person designated by the Recipient or by Ecology to sign a grant or loan agreement and any formal amendments to it.

**Base Plus Funding** is the formula used to allocate CPG funds for solid and hazardous waste implementation grants. Each county receives a fixed amount (base) and a per capita amount based on the county population size.

**Capital Costs** means the costs of facilities, land, and equipment, and repairs that materially increase their value or useful life.

**Cash Expenditure** means any cash outlay by the Recipient, regardless of the source of funds, for direct costs of goods and/or services, salaries, and benefits of Recipient employees; overhead costs; and payments made to contractors.

**Close-Out** means the process by which all administrative matters relative to a grant are reconciled in order to close the file.

**Contract** means a written instrument whose principal purpose is the procurement—by purchase or lease—of goods or services for the direct benefit of the project.

**Coordinated Application** is a grant application that all eligible recipients in a jurisdiction have agreed upon and approved.

**CPG Goal Projects** are supplemental projects that align with one or more of the CPG Statewide Goals.

**Department** means the Department of Ecology.

**Disposal Costs** means the costs to transport material and to treat it, recycle it, incinerate it, or place it in a landfill. It does not include the costs to collect material and prepare it for disposal.

**Disposal Site** means the location where any final treatment, utilization, processing, or deposit of solid waste occurs.

**Ecology Grant Officer/Project Manager** means the Ecology staff person assigned to negotiate the terms of any agreement with the Recipient and to manage the project.

**Effective Date** (of an agreement) means the earliest date on which eligible project costs may be incurred. Unless otherwise stated in the agreement, the effective date is the date that the agreement was signed by Ecology.

**Eligible Costs** are costs that meet all eligibility criteria established in the terms of the grant agreement. This includes any criteria related to the nature and the amount of the costs. If a cash expenditure is eligible, this implies that it will be reimbursed, in whole or in part, with state funds. If an in-kind contribution is eligible, a Recipient may use it to meet the match requirement. (*See Interlocal Costs.*)

**Grant** means an award of money or property to accomplish a public purpose authorized by statute. The term does not include technical assistance, which provides services instead of money, or other assistance such as revenue sharing, loans, loan guarantees, interest subsidies, insurance, or direct appropriations. Nor does the term include assistance, such as a fellowship or other lump sum, for which the Recipient is not required to account. (*NOTE: This should not be confused with technical assistance grants, which are awards of money to accomplish technical assistance.*)

**Household Hazardous Waste** is any waste which exhibits any of the properties of dangerous wastes that is exempt from regulation under chapter 70.105 RCW, Hazardous waste management, solely because the waste is generated by households (see WAC 173-350).

**Information Clearinghouse** is an online reporting and information sharing system that is scheduled to be complete in 2006.

**In-Kind Contributions** are property or services that benefit a project and are contributed to the Recipient (or any contractor under the grant agreement) by a third party, without direct monetary compensation. In-kind contributions include donated or loaned real or personal property, volunteer services, and employee services donated by a third party. These are not allowable under the Coordinated Prevention Grants Program, except as interlocal costs.

**Interlocal Agreement** means an agreement developed in accordance with Chapter 39.34 RCW, Interlocal Cooperation Act. The Interlocal Agreement shall be signed by the authorized officials of the local governments involved, and shall specify the services and/or facilities to be provided and any compensation between the local governments for such services and/or facilities.

**Interlocal Costs** are in-kind contributions made to a project by another local government pursuant to a valid written agreement (such as an interlocal agreement) between the Recipient and the contributing entity that details the work to be accomplished, the goods and services to be provided, and the value thereof. This is the only form of in-kind contribution allowed under the Coordinated Prevention Grant Program.

If the Recipient reimburses another governmental entity for any portion of its contributions, the amount paid to the other entity is not an interlocal cost. It is a cash expenditure on the part of the Recipient. Only the nonreimbursed portion of the other governmental entity's contributions is an interlocal cost.

**Jurisdiction** means a city, a county, a city-county joint entity, or a public health district/department.

**Lead Implementation Agency** means the agency designated in the adopted local hazardous or solid waste management plan as having the principal responsibility for the execution of all or most of the plan, and/or the coordinating agency which delegates responsibility to other agencies to execute portions of the plan.

**Local Comprehensive Solid Waste Management Plan** means the plan to manage solid waste that a local government is required to prepare pursuant to Chapter 70.95 RCW.

**Local Government** means any political subdivision, regional governmental unit, district, or municipal or public corporation, including cities, towns, and counties. The term encompasses but does not refer specifically to the departments within a city, town, or county.

**Local Hazardous Waste Management Plan** means the plan to manage moderate risk waste that a local government is required to prepare pursuant to Chapter 70.105 RCW.

**Local Priority Projects** are projects that have an immediate solid waste enforcement need or are ongoing priority projects for solid and hazardous waste implementation. These projects may or may not align with one or more of the CPG Statewide Goals.

**Match** means that portion of the cash expenditures borne by Recipient funds and the value of the interlocal costs applied to the project, if any.

**Minimum Threshold Score** is a scoring system for grant applications designed to ensure that grant projects have defined outcomes and grant applicants are ready to proceed. Grant applicants will not receive funding until their application meets the minimum threshold score.

**Moderate Risk Waste** means (a) any waste that exhibits any of the properties of hazardous waste but is exempt from regulation under Chapter 70.105 RCW solely because the waste is generated in quantities below the threshold for regulation, and (b) any household wastes that are generated from the disposal of substances identified by the Department as hazardous household substances or substances that exhibit any of the properties of hazardous waste.

**Municipal Composting** means composting activities that are consistent with WAC 173-350, compost "urban" waste such as yard debris and food waste, and have a collection system (self-haul can be the collection system). Home composting and agricultural composting are not "municipal" composting.

**Operating expenses** means the day-to-day costs of running a facility, including labor.

**Outcome** means a measurable environmental or human health result. Intermediate outcomes, like recycling tonnage, lead to ultimate outcomes, like energy conservation, emissions reduction, reduced human health risks. It is important to understand what outcome each project seeks to accomplish, and to have a way of measuring that, but not every project need measure every possible outcome.

**Overhead** means those costs that benefit more than one activity of the Recipient (including the grant project) and that cannot be directly assigned to an objective of the project.

**Phase One** is the first year of multi-phase supplemental projects. This phase consists of traditional grant funding of at least 25% of the total grant award.

**Phase Two** is the second year of multi-phase supplemental projects. This phase consists of unspent funds from the regular grant cycle and will complete the funding of the total grant award.

**Project** means a specific, focused task undertaken by a grant recipient (for example, a home compost bin distribution project that is part of an organics program).

**Recipient** means the entity to which the funding is awarded and which is accountable for the use of the funds provided. The Recipient is the entire legal entity even if only one component or department is designated in the agreement document.

**Recyclable Materials** means those solid wastes separated for recycling or reuse, such as papers, metals, and glass that are identified as recyclable materials pursuant to a local comprehensive solid waste management plan.

**Recycling** means transforming or remanufacturing waste materials into usable or marketable materials for use other than landfill disposal or incineration.

**Responsible Official** means a grant Recipient employee primarily responsible for working with Ecology on the grant project (e.g., public works director, public health director, recycling coordinator, solid waste planner).

**Retroactive Funding** means expenditures for work done prior to the effective date of the grant agreement.

**Small Quantity Generator** means a commercial generator of a waste that exhibits any of the properties of hazardous waste but is exempt from regulation under Chapter 70.105 RCW solely because the waste is generated or stored in quantities below the threshold for regulation.

**Solid Waste** means all putrescible and nonputrescible solid and semisolid wastes including, but not limited to, garbage, rubbish, ashes, industrial wastes, swill, demolition and construction wastes, abandoned vehicles or parts thereof, and recyclable materials.

**Solid Waste Enforcement Projects** are projects that include activities to develop, support or enforce solid waste regulations.

**Summit** means the State Solid Waste Summit, a meeting of local government and Ecology solid waste professionals held every-other-year to discuss statewide priorities and develop partnerships.

**Supplemental funds** are CPG funds that are not used by grant recipients during the regular grant cycle because they were either not requested or not spent by Recipients. These funds are then awarded in a competitive process to Recipients who need additional funds.

**Task** is an overarching category that groups your selected grant activities.

**Waste Reduction and Recycling Projects** are projects that include activities to develop or implement Local Comprehensive Solid Waste Management Plans.

**Work Plan** means a description of activities with a timeline that demonstrate how a grant recipient plans to accomplish the expected outcomes of their project or program.

## List of Acronyms

BMP	Best Management Practice
C&D	Construction & Demolition
CESQG	Conditionally Exempt Small Quantity Generator
CPG	Coordinated Prevention Grant
DEPARTMENT	Washington Department of Ecology
EALR	Essential Academic Learning Requirement
Ecology	Washington Department of Ecology
FPA	Final Performance Analysis
FTEs	Full Time Employees
HB 1785	House Bill 1785
HHW	Household Hazardous Waste
IPM	Integrated Pest Management
JHA	Jurisdictional Health Authority
JLARC	Joint Legislative Audit and Review Committee
LTCA	Local Toxic Control Act
MRW	Moderate Risk Waste
MSW	Municipal Solid Waste
OMB	Office of Management and Budget
PBT	Persistent Bioaccumulative Toxin
PMT	Program Management Team
SEPA	State Environmental Policy Act
SQG	Small Quantity Generator
SWAC	Solid Waste Advisory Committee
SWE	Solid Waste Enforcement
SWFAP	Solid Waste and Financial Assistance Program
WDOE	Washington Department of Ecology
WRR	Waste Reduction and Recycling



# **APPENDIX B**

## **Example Outcomes**





**Example Outcomes:** This table contains examples of measurement units for different types of grant programs/projects. It was created to help generate ideas; these units are not the only units that are acceptable.

<b>1) Organics</b>		<b>Sample Outcomes (numbers and units)</b>
Public Education and Outreach*		<b>Participation in response to education material</b>  <b>Survey to assess knowledge or behavior</b>
Home Composting		<b>Participation rates of target households</b>  <b>Tons of yard waste composted</b>
Vermicomposting		<b>Pounds of food waste* vermicomposted</b> *A typical household of 4 generates 7 to 10 lbs per household per week.
Food Waste Composting Program		<b>Pounds of food waste* composted</b> *A typical household of 4 generates 7 to 10 lbs per household per week.
Municipal Composting		<b>Tons processed at a facility</b>
Master Composter and/or Gardener		<b>Volunteer hours generated</b>
Native Planting/Xeriscaping		<b>Number of visitors to demonstration site</b>  <b>Number of demonstration sites</b>
Mulching Mower/Grasscycling		<b>Pounds left on lawn</b> The average household generates 1,000 pounds of grass annually <b>Participation rates of target households</b>
Natural Yard Care		<b>Number using natural yard techniques in target households</b>
Curbside Yard Debris Collection		<b>Tons collected at curb</b>
Wood Chipping Operations		<b>Tons diverted and reused</b>
Agricultural Waste Management and TA		<b>Tons diverted and reused</b>
<b>2) Green Building</b>		
<b>Type of Program</b>		
Public Education and Outreach*		<b>Participation in response to education material</b>  <b>Survey to assess knowledge or behavior</b>
Building Industry Education Program		<b>Participation rate in target population of building industry</b>  <b>Survey to assess knowledge and/or adoption of green building practices</b>
Green Building Codes and/or Policy or Incentives		<b>Stakeholder participation rates</b>
Building Material Reuse/Exchange Program		<b>Number of customers</b>

	<b>Tons diverted through exchange</b>
Deconstruction Program	<b>Number of customers</b>
	<b>Tons diverted through deconstruction</b>
Recycling/Processing Facility	<b>Tons recycled or processed</b>
Demonstration Buildings	<b>Number of visitors</b>
Green Building Certification Program	<b>Awareness of certification program</b>
	<b>Number of applicants for certification program</b>
Green Built Recognition (e.g. Construction Works)	<b>Number of builders in Built Green recognition program</b>
	<b>Number of homes constructed, and related environmental savings</b>
<b>3) Residential Waste Reduction &amp; Recycling</b>	
<b>Type of Program</b>	
School Education and Outreach Programs	<b>Pre- / post- test</b>
	<b>Observation of behavior in follow-up with teacher or school</b>
Public Education & Outreach*	<b>Participation in response to education material</b> (i.e. recycling of more materials, recycling at work, new residents)
	<b>Survey to assess knowledge or behavior</b>
Curbside Recycling	<b>Participation rates</b>
	<b>Tons collected</b>
	<b>Tons recycled</b>
Drop Box Recycling	<b>Tons collected</b>
	<b>Tons recycled</b>
Multi-Family Program	<b>Number of multi-family homes recycling</b>
Special Collection Events	<b>Tons or pounds collected</b>
	<b>Participation rates in target community</b>
Waste Exchange Program	<b>Number of exchanges</b>
	<b>Tons diverted</b>
Waste Reduction Program*	<b>Survey to assess knowledge or behavior</b>
	<b>Tons diverted</b>
<b>4) Commercial Waste Reduction &amp; Recycling</b>	
<b>Type of Program</b>	
Commercial Education and Outreach*	<b>Number of businesses practicing WRR in response to education materials</b>
School/Institutional Education and Outreach*	<b>Number of schools practicing WRR in response to education materials</b>

School Recycling Program	<b>Number of schools recycling</b> <b>Tons recycled</b>
Curbside Recycling	<b>Participation rates of businesses</b> <b>Tons recycled</b>
Waste Exchange Program	<b>Number of exchanges</b> <b>Tons diverted</b>
Market Development Program	<b>Number of new businesses in 'market'</b> <b>New commodities</b> <b>New volume capacity</b>
In-House Program (e.g. Walk-The-Talk)	<b>Recycling rate of total waste volume</b> <b>Tons recycled</b>
On-site Commercial Waste Audits	<b>Number of businesses practicing WRR in response to education visits</b>
<b>5) Moderate Risk Waste</b>	
<b>Type of Program</b>	
Toxics Reduction Education & Outreach (except PBTs)*	<b>Survey to assess knowledge or behavior</b> <b>Sales data of targeted toxic products in county</b>
Persistent Bioaccumulative Toxins (PBT) Programs (mercury, PBDE etc, including education and outreach)	<b>Mercury* or other PBTs removed from households / businesses</b> *1lb of mercury = 100,000 fluorescent tubes <b>Survey to assess knowledge or behavior</b>
Fixed Facility	<b>Pounds collected</b> <b>Pounds recycled or reused</b> <b>Decrease of repeat customers (due to behavior change), increase of one time visitors</b>
Mobile or Satellite Programs	<b>Pounds collected</b> <b>Pounds recycled or reused</b> <b>Decrease of repeat customers (due to behavior change), increase of one time visitors</b>
Collection Events	<b>Pounds collected</b> <b>Participation rates from target population</b>
On-site Business Assistance Program	<b>Number of businesses practicing WRR and BMPs in response to education visits</b>

CESQG Collection	<b>Pounds collected, reused, recycled</b> <b>Participation rates from target businesses</b>
Electronic Waste Programs	<b>Tons collected and diverted for legitimate recycling</b> <b>Participation rates from target businesses or population</b>
Product Take-Back Programs	<b>Number of take-back locations and collection data</b> <b>Participation rates from target businesses and commodities</b>
<b>6) Solid Waste Enforcement</b>	
<b>Type of Program</b>	
Illegal Dumping Prosecution	<b>Number of complaints received &amp; resolved</b>
Animal Waste Program	<b>Number of inspections that result in proper waste management</b> <b>Number of mutt mitts used in a public area</b>
Enforcing Solid Waste Codes	<b>Number of enforcements</b> <b>Decrease of repeat offenders</b>
Permit Reviews	<b>Number of permits reviewed</b> <b>Number of permits issued</b>
Ensuring Compliance at Permitted Solid Waste Facilities	<b>Number of visits ‘in compliance’</b>
Ensuring Compliance at Permitted Biosolids Land Application Sites	<b>Number of visits ‘in compliance’</b>
Closed and Abandoned Landfill Program	<b>Environmental indicators (groundwater, etc)</b> <b>Number inventoried</b> <b>Number ‘closed’</b>
Oversight of Permit-Exempt Facilities	<b>Number of visits and/ or contacts</b> <b>Number of ‘notifications’ due to spills</b>

\*Note: Staff time spent on updates to education material is eligible for CPG; however, it should not be the main project goal or outcome.

# **Appendix C**

## **Application Forms**



FORM  
CPG-X

**DEPARTMENT OF ECOLOGY**  
**APPLICATION FOR COORDINATED PREVENTION GRANT**  
**January 1, 2006 - December 31, 2007**

<b>(1) APPLICANT INFORMATION</b>			
<input type="checkbox"/> County <input type="checkbox"/> City		<input type="checkbox"/> Health District/Department <input type="checkbox"/> Other	
<b>Applicant Name:</b>		<b>Contact Person:</b>	
Address:		Title:	
		Phone:	
		FAX:	
<b>Federal Tax Identification Number:</b>		E-Mail:	
<b>Contact Person for Billing/Invoice Questions</b>		<b>Payment Should be Made Payable to:</b>	
<b>Phone:</b>		<b>Payment Should be Mailed to</b>	
<b>(2) FUNDING REQUEST</b>			
<b>TOTAL COST</b>	<b>STATE FUNDS/GRANT AMOUNT</b>	<b>LOCAL MATCH</b>	
		Cash	Interlocal Cost
\$	\$	\$	

**CERTIFICATION AND AGREEMENT**

The undersigned representative certifies that the information submitted herewith is true and correct to the best of their knowledge and belief, and that they are authorized to submit this application.

The applicant agrees that if a grant is awarded on the basis of this application or any revision or amendment thereof, it will comply with all applicable statutory provisions, and with the applicable terms, conditions, and procedures of the Department of Ecology grant regulations and of the grant agreement.

**Applicant** \_\_\_\_\_

**Name (printed)** \_\_\_\_\_

**Signature (blue ink)** \_\_\_\_\_

**Title** \_\_\_\_\_ **Date** \_\_\_\_\_

# Instructions for FORM CPG-X

## APPLICATION FOR COORDINATED PREVENTION GRANT

This form must be received by your Ecology regional grant officer by 5 pm on the due date via e-mail or hard copy. If you send the form via e-mail you must also send a hard copy with an original signature.

### (1) APPLICANT INFORMATION

The applicant is the local government with authority and responsibility for developing and implementing local hazardous waste and solid waste plans, or the jurisdictional health authority.

- Show the name, mailing address, and federal tax identification number of the applicant.
- The contact person is the person who has prepared this application. It should be someone who will be able to answer questions that Ecology may have about the information on the application forms. Also include the name and address of where grant reimbursement funds should be mailed.

### (2) FUNDING REQUEST

Before you can finish this section, you will need to complete your project requests (Form CPG-Y) and budgets by project (Form CPG-Z).

#### **Total Cost**

This is the total of all costs allowable for funding by a coordinated prevention grant.

#### **State Funds/Grant Amount**

This is the amount of grant funding you are requesting from Ecology.

#### **Local Match**

Local match is the part of the project cost that will be borne by the applicant. You can meet the local match amount in two ways:

- Cash is any cash outlay for the project, regardless of the source of the funds, for direct costs of goods and/or services, salaries and benefits of employees, overhead costs, and payments made to contractors.
- Interlocal cost is an in-kind contribution made to a project by another government, according to a valid written agreement (such as an Interlocal Agreement) between the contributor and the grant Recipient. The agreement must detail the work to be accomplished, the goods and services to be provided, and their value.

To receive this document in alternative format, contact the Solid Waste and Financial Assistance Program at 360-407-6129 (Voice), 711, or 1-800-833-6388 (TTY).



**PROGRAM INFORMATION  
COORDINATED PREVENTION GRANTS**

<b>(1) IDENTITY</b>			
<b>Recipient Name</b>		<b>Contact Person</b>	
<b>(2) TASK</b>			
<b>(3) SUMMARY TASK DESCRIPTION</b>			
<b>(4) COMPREHENSIVE SOLID WASTE MANAGEMENT PLAN – SECTION/PAGE(s) WITH WHICH ACTIVITIES UNDER THIS TASK ARE CONSISTENT</b>			
<b>(5) TASK FUNDING REQUEST</b>			
TOTAL COST	GRANT AMOUNT REQUESTED	LOCAL MATCH	
		CASH	Interlocal Cost
\$	\$	\$	\$

(6) PROJECT INFORMATION
(a) Project Title 1
(b) Description of problem to be solved
(c) Target audience
(d) Work plan with timeline
(e) Outcome statement
(f) Method of measurement

(g) Consistency with CPG Statewide Goals (optional for most projects – see instructions)

To receive this document in alternative format, contact the Solid Waste and Financial Assistance Program at 360-407-6129 (Voice), 711, or 1-800-833-6388 (TTY).

## **Instructions for Form CPG-Y Program/Project Information Form**

This form must be received by your Ecology regional grant officer by 5 pm on the due date via e-mail or hard copy. You need to fill out a separate program information form for each program for which you are requesting funding. For example, if you are doing an Organics program and an MRW program you will need to fill out two forms. You will also need to fill out project information (section 6) for each *project* within a program. For example, if your Organics program includes a home composting project and a wood chipping project, you will need to fill out section 6 twice on your Organics form. **You will need to know your budget figures to finish this form; we suggest you complete the Expenditure Budget by Program (Form CPG-Z) first.**

**(1) IDENTITY**

Name the Recipient and the Contact Person for each program.

**(2) Identify Task or Title**

Provide a descriptive title for your program.

**(3) SUMMARY PROGRAM DESCRIPTION**

Provide a brief summary (one paragraph) of the program.

**(4) COMPREHENSIVE SOLID WASTE MANAGEMENT PLAN**

Briefly describe how this program is consistent with your CSWMP and provide the page or section number of your plan that supports this.

**(5) PROGRAM FUNDING REQUEST**

This section shows where the money for this project will come from and how much you are supplying as match.

**(6) PROJECT INFORMATION**

Provide separate information for each project within the program:

**a) Project** – provide a brief title for the project.

**b) Goal Statement/ Description of problem to be solved** – explain why you need funding for this project (the goal of the project). For example, the goal of your home compost bin project might be to decrease the

amount of organic waste going to the landfill by distributing home compost bins.

- c) **Target audience** – describe who this program will serve, including the size of the target audience (number of people).
- d) **Work plan with timeline** – describe the key steps/activities needed to accomplish your expected outcomes. Include an estimated completion date or time frame for each step.
- e) **Outcome statement** – describe what you will accomplish by doing this project.
- f) **Method of measurement** – describe how you will track progress and learn from your project.
- g) **Consistency with CPG Statewide Goals** – provide the goal category and number (for example, Organics #1) with which your project is consistent. This is mandatory ONLY for Supplemental CPG Statewide Goal projects.



## EXPENDITURE BUDGET BY PROJECT

Complete a separate Form CPG-Z for each program.

**FORM  
CPG-Z**

**\*PLEASE READ THE INSTRUCTIONS BEFORE FILLING OUT THIS FORM\***

**TASK**

1. PROJECT	2. SALARIES AND BENEFITS	3. OVERHEAD	4. GOODS AND SERVICES	5. TRAVEL	6. CONTRACTS	7. EQUIPMENT	8. INTERLOCAL	9. TOTAL PROJECT COST	10. TOTAL STATE GRANT AMOUNT REQUESTED
1.									
2.									
3.									
4.									
5.									
6.									
7.									

8. TOTAL TASK COST	\$
9. TOTAL GRANT AMOUNT REQUESTED	\$

**ECY 070-111**

*To receive this document in alternative format, contact the Solid Waste and Financial Assistance Program at 360-407-6129 (Voice), 711, or 1-800-833-6388 (TTY).*

## **Instructions for EXPENDITURE BUDGET BY PROJECT**

### **Form CPG Z**

This form must be received by your Ecology regional grant officer by 5 pm on the due date via e-mail or hard copy. This form is a tool to be used in developing budgets for programs. It should be completed before filling out the Program/Project Information form (Form CPG-Y). (*See Administrative Guidelines for Ecology Grants and Loans, WDOE 91-18, Revised October 2000 for further explanation of budget by task.*) Please see the Yellow Book for definitions of various project costs (salaries and benefits, overhead, equipment, etc.). *FILL OUT A SEPARATE CPG-Z FORM FOR EACH PROGRAM*

- **TASK**  
Enter the title of the program from the Program/Project Information form (Form CPG-Y).
- **PROJECT**  
Enter the title of the project from the Program/Project Information form (Form CPG-Y) If there are no projects other than the “task” please include budget information for the task.
- **PROJECT COSTS**  
Enter for each project the cost by object of expenditure, the total cost of the project (including costs not funded by CPG), and the total state grant amount requested for the project. For example, a Waste Reduction and Recycling program may have several tasks. These may include a compost workshop, a collection event, educational activities, business audits, etc. Each of these would be a project.
- **TOTAL TASK COST**  
Please include the anticipated costs for your entire task, including costs that will not be funded by CPG. Column 9 should be the total of columns 2 through 8. Row 8 should be the total of column 9.
- **TOTAL STATE GRANT AMOUNT REQUESTED**  
Please include the state grant amount that you are requesting for each project. Row 9 should be the total of column 10.





# **APPENDIX D**

## **Payment Request and Report Forms**



## COORDINATED PREVENTION GRANTS PROGRESS REPORT 2006-2007

**Requirements and Instructions:** Ecology's Administrative Requirements for Grants and Loans require a progress report accompany each payment request. Your grant project officer cannot process a payment request without this progress report. (Invoicing forms that the progress report accompanies include forms A19-1A, B2, and C2.) It is not necessary to provide detailed information about project outputs or outcomes in progress reports. A detailed summary of lessons learned and measurement of environmental outputs/outcomes will be required as part of the Final Performance Analysis due after a grant's expiration. Contact your grant project officer if you have questions about this progress report, and or refer to the sample progress report in the CPG Guidelines.

### GRANT INFORMATION

Recipient:	
Grant Number:	
Months Covered by this Report: <i>[e.g. Sept '06 to April '07]</i> (Months must correspond period reported on Form A19-1A)	
Ecology Grant Project Officer:	

### PROJECT INFORMATION

For each task of the grant agreement please provide a brief description of activities conducted in the timeframe this progress report covers. Your project officer will contact you via phone or email if additional information is needed.

**PREPARED BY:**

**DATE:**

*To receive this document in alternative format, contact the Solid Waste and Financial Assistance Program at 360-407-6129 (Voice), 711, or 1-800-833-6388 (TTY).*



## COORDINATED PREVENTION GRANTS PROGRESS REPORT 2006-2007

**SAMPLE**

**SAMPLE**

Requirements and Instructions: Ecology's Administrative Requirements for Grants and Loans require a progress report accompany each payment request. Your grant project officer cannot process a payment request without this progress report. (Invoicing forms that the progress report accompanies include forms A19-1A, B2, and C2.) It is not necessary to provide detailed information about project outputs or outcomes in progress reports. A detailed summary of lessons learned and measurement of environmental outputs/outcomes will be required as part of the Final Performance Analysis due after a grant's expiration. Contact your grant project officer if you have questions about this progress report, and or refer to the sample progress report in the CPG Guidelines.

### GRANT INFORMATION

Recipient:	LayKleen County Solid Waste Division
Grant Number:	G0600224
Months Covered by this Report: <i>[e.g. Sept '06 to April '07]</i> (Months must correspond period reported on Form A19-1A)	January 2006 through June 2006
Ecology Grant Project Officer:	Will Help Yue

### PROJECT INFORMATION

For each task of the grant agreement please provide a brief description of activities conducted in the timeframe this progress report covers. Your project officer will contact you via phone or email if additional information is needed.

Task 1. Recycling Education and Outreach in Schools. Staff continued to work with two local elementary schools. Two all school assemblies were held consistent with the project scope of work, 50 students received surveys to assess changes in recycling awareness. Staff received encouraging response from school administration that they are committed to continuing recycling education.

Task 2. Natural Lawn Care. Residential backyard compost bin and mulching mower distribution events were conducted in March and April respectively. Mulching mower sales continue to be strong, supplies were sold out. Compost bin sales were less than anticipated based on previous year's sales; we are going to make the bins available online for purchase through the county's website. Planning is underway for another mulching mower event to be conducted in early fall.

Task 3. Household Hazardous Waste Collection. Our fixed facility saw customer and volumes continue to increase slightly. One material that saw a sharp increase in volume was mercury thermometers. A special collection event will be held in September, promotional announcements are currently being designed.

Task 4. Solid Waste Plan Update. No work this period, anticipate beginning plan update in October 2006.

**PREPARED BY: Tran Nguyen**

**DATE: July 17, 2006**



**Coordinated Prevention Grant  
Annual Report Form  
2006-2007**

**Instructions:**

This form should be completed by you and your Ecology Grant Officer once per year. Please track Outreach Contact numbers (see page 5) throughout each year and provide final numbers to your grant officer by February 15<sup>th</sup> of the following calendar year. This form is **required** regardless of the amount of funds remaining in your grant. The information on this form should be verified and updated as necessary by February 15<sup>th</sup> of each calendar year. Ecology will combine the information from the Health Jurisdiction and Planning Jurisdiction (PW) into one form for each county. Some projects may fit under more than one category. In that case, please list the project under each category, referring back to the first listing for details. **Use the F11 key to navigate through text boxes.**

**Jurisdictional Information**

County/City:	
Solid & Hazardous Waste Implementation Grant Award:	\$
Solid Waste Enforcement Grant Award:	\$
Calendar Year of Report:	
Public Works/City Grant Contact:	
Health Jurisdiction Grant Contact:	
Ecology Grant Officer:	

**Activity Information**

**1) Organics**

Row Number	Type of Project	Check if Being Done Now	Check if Funding With CPG	Comments (title of project, brief description, who runs the project if not just the grant recipient, etc)
1.01	Public Education and Outreach	<input type="checkbox"/>	<input type="checkbox"/>	
1.02	Home Composting	<input type="checkbox"/>	<input type="checkbox"/>	
1.03	Vermicomposting	<input type="checkbox"/>	<input type="checkbox"/>	
1.04	Food Waste Composting Project	<input type="checkbox"/>	<input type="checkbox"/>	
1.05	Municipal Composting	<input type="checkbox"/>	<input type="checkbox"/>	
1.06	Master Composter and/or Gardener	<input type="checkbox"/>	<input type="checkbox"/>	
1.07	Native Planting/Xeriscaping	<input type="checkbox"/>	<input type="checkbox"/>	
1.08	Mulching Mower/Grasscycling	<input type="checkbox"/>	<input type="checkbox"/>	
1.09	Natural Yard Care	<input type="checkbox"/>	<input type="checkbox"/>	
1.10	Curbside Yard Debris Collection	<input type="checkbox"/>	<input type="checkbox"/>	
1.11	Wood Chipping Operations	<input type="checkbox"/>	<input type="checkbox"/>	
1.12	Agricultural Waste Management and TA	<input type="checkbox"/>	<input type="checkbox"/>	

1.13	Rate Structures that Encourage Yard Waste Diversion	<input type="checkbox"/>	<input type="checkbox"/>	
1.14	Other	<input type="checkbox"/>	<input type="checkbox"/>	
<b>2) Green Building</b>				
<b>Row Number</b>	<b>Type of Project</b>	<b>Check if Being Done Now</b>	<b>Check if Funding With CPG</b>	<b>Comments</b> (title of project, brief description, who runs the project if not just the grant recipient, etc)
2.01	Public Education and Outreach	<input type="checkbox"/>	<input type="checkbox"/>	
2.02	Building Industry Education	<input type="checkbox"/>	<input type="checkbox"/>	
2.03	Green Building Codes and/or Policy or Incentives	<input type="checkbox"/>	<input type="checkbox"/>	
2.04	Building Material Reuse/Exchange	<input type="checkbox"/>	<input type="checkbox"/>	
2.05	Deconstruction	<input type="checkbox"/>	<input type="checkbox"/>	
2.06	Recycling/Processing Facility	<input type="checkbox"/>	<input type="checkbox"/>	
2.07	Demonstration Buildings	<input type="checkbox"/>	<input type="checkbox"/>	
2.08	Green Building Certification	<input type="checkbox"/>	<input type="checkbox"/>	
2.09	Green Built Recognition (e.g. Construction Works)	<input type="checkbox"/>	<input type="checkbox"/>	
2.10	Other	<input type="checkbox"/>	<input type="checkbox"/>	
<b>3) Residential Waste Reduction &amp; Recycling</b>				
<b>Row Number</b>	<b>Type of Project</b>	<b>Check if Being Done Now</b>	<b>Check if Funding With CPG</b>	<b>Comments</b> (title of project, brief description, who runs the project if not just the grant recipient, etc)
3.01	School Education and Outreach	<input type="checkbox"/>	<input type="checkbox"/>	
3.02	Public Education & Outreach	<input type="checkbox"/>	<input type="checkbox"/>	
3.03	Curbside Recycling	<input type="checkbox"/>	<input type="checkbox"/>	
3.04	Drop Box Recycling	<input type="checkbox"/>	<input type="checkbox"/>	
3.05	Multi-Family Recycling	<input type="checkbox"/>	<input type="checkbox"/>	
3.06	Special Collection Events	<input type="checkbox"/>	<input type="checkbox"/>	
3.07	Waste Exchange	<input type="checkbox"/>	<input type="checkbox"/>	
3.08	Waste Reduction	<input type="checkbox"/>	<input type="checkbox"/>	
3.09	Rate Structures that Encourage Recycling	<input type="checkbox"/>	<input type="checkbox"/>	
3.10	Other	<input type="checkbox"/>	<input type="checkbox"/>	



#### 4) Commercial Waste Reduction & Recycling

Row Number	Type of Project	Check if Being Done Now	Check if Funding With CPG	Comments (title of project, brief description, who runs the project if not just the grant recipient, etc)
4.01	Commercial Education and Outreach	<input type="checkbox"/>	<input type="checkbox"/>	
4.02	School/Institutional Education and Outreach	<input type="checkbox"/>	<input type="checkbox"/>	
4.03	School Recycling	<input type="checkbox"/>	<input type="checkbox"/>	
4.04	Curbside Recycling	<input type="checkbox"/>	<input type="checkbox"/>	
4.05	Waste Exchange	<input type="checkbox"/>	<input type="checkbox"/>	
4.06	Market Development	<input type="checkbox"/>	<input type="checkbox"/>	
4.07	In-House (e.g. Walk-The-Talk)	<input type="checkbox"/>	<input type="checkbox"/>	
4.08	On-site Commercial Waste Audits	<input type="checkbox"/>	<input type="checkbox"/>	
4.09	Rate Structure that Encourages Recycling	<input type="checkbox"/>	<input type="checkbox"/>	
4.10	Product Stewardship	<input type="checkbox"/>	<input type="checkbox"/>	
4.11	Other	<input type="checkbox"/>	<input type="checkbox"/>	

#### 5) Moderate Risk Waste

Row Number	Type of Project	Check if Being Done Now	Check if Funding With CPG	Comments (title of project, brief description, who runs the project if not just the grant recipient, etc)
5.01	Toxics Reduction Education & Outreach (except PBTs)	<input type="checkbox"/>	<input type="checkbox"/>	
5.02	Persistent Bioaccumulative Toxins (PBT) Projects (mercury, PBDE etc, including education and outreach)	<input type="checkbox"/>	<input type="checkbox"/>	
5.03	Fixed Facility	<input type="checkbox"/>	<input type="checkbox"/>	
5.04	Mobile or Satellite Collection	<input type="checkbox"/>	<input type="checkbox"/>	
5.05	Collection Events	<input type="checkbox"/>	<input type="checkbox"/>	
5.06	On-site Business Assistance	<input type="checkbox"/>	<input type="checkbox"/>	
5.07	CESQG Collection	<input type="checkbox"/>	<input type="checkbox"/>	
5.08	Electronic Waste	<input type="checkbox"/>	<input type="checkbox"/>	
5.09	Product Take-Back	<input type="checkbox"/>	<input type="checkbox"/>	
5.10	Other	<input type="checkbox"/>	<input type="checkbox"/>	

<b>6) Solid Waste Enforcement</b>				
<b>Row Number</b>	<b>Type of Project</b>	<b>Check if Being Done Now</b>	<b>Check if Funding With CPG</b>	<b>Comments (title of project, brief description, who runs the project if not just the grant recipient, etc)</b>
6.01	Illegal Dumping Prosecution	<input type="checkbox"/>	<input type="checkbox"/>	
6.02	Illegal Dumping Prevention (e.g. Education)	<input type="checkbox"/>	<input type="checkbox"/>	
6.03	Illegal Dump Cleanup	<input type="checkbox"/>	<input type="checkbox"/>	
6.04	Animal Waste	<input type="checkbox"/>	<input type="checkbox"/>	
6.05	Enforcing Solid Waste Codes	<input type="checkbox"/>	<input type="checkbox"/>	
6.06	Permit Reviews	<input type="checkbox"/>	<input type="checkbox"/>	
6.07	Ensuring Compliance at Permitted Solid Waste Facilities	<input type="checkbox"/>	<input type="checkbox"/>	
6.08	Ensuring Compliance at Permitted Biosolids Land Application Sites	<input type="checkbox"/>	<input type="checkbox"/>	
6.09	Closed and Abandoned Landfill	<input type="checkbox"/>	<input type="checkbox"/>	
6.10	Oversight of Permit-Exempt Facilities	<input type="checkbox"/>	<input type="checkbox"/>	
6.11	Other	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Additional Comments on this Report:</b>				
<b>Prepared By:</b>		<b>Date:</b>		

*To receive this document in alternative format, contact the Solid Waste and Financial Assistance Program at 360-407-6129 (Voice), 711, or 1-800-833-6388 (TTY).*

**ECY 070-113**

# SOLID WASTE ENFORCEMENT PROGRESS REPORT 2006-2007

<b>Grant Number:</b>	<b>Year or Quarter Covered by this Report:</b>
<b>Recipient:</b>	2006 _____ 2007 _____
<b>Project Coordinator (Recipient):</b> <b>Phone Number:</b>	<b>Grant Officer (Ecology):</b>

Grant Activities for Reporting Quarter (or other period)	
Illegal Dumping/Improper Disposal	Comments, if any
Number of Complaints Received This Period: _____	
Number of Complaints Resolved: (also include past complaints not previously resolved) _____	

Permits	Name of Facility
Number of Applications Reviewed: _____	
Number of Permits Issued: _____	

Inspections (attach inspection reports for facilities per grant agreement)	Name of Facility
Number of Inspections: _____	
Number of Other Visits: _____	

Plan Reviews	Type of Plan and Name of Facility
Number of Plans Reviewed: _____	

Customer and General Public Technical Assistance	Comments, if any
Number of Actions: _____	

Landfill Groundwater Monitoring Reports	Name of Facility
Number of Groundwater Monitoring Reports Reviewed: _____	

<b>Ordinance Development and Review</b>	Name of Ordinance
Number of Ordinances Developed: _____	
Number of Ordinances Reviewed: _____	

<b>Other Activities or Equipment Purchases</b>		
<b>Percent of Activities Funded by CPG</b>		
Prepared by:	Date:	Phone: e-mail address:

*To receive this document in alternative format, contact the Solid Waste and Financial Assistance Program at 360-407-6129 (Voice), 711, or 1-800-833-6388 (TTY).*

ECY 070-115

## Coordinated Prevention Grants Final Performance Analysis - 2004-2005

**Instructions:** The FPA should be submitted by February 15, 2008, usually in conjunction with your final payment request. Final payment can not be made until an FPA is submitted to your Ecology grant officer. Information on FPAs provided by all CPG recipients statewide will be compiled into a published report (CPG Biennial Report) that aggregates and summarizes the quality environmental returns to determine if CPG is complying with legislative audits and intent.

**This form may not be the final format for your FPA** – we are working with the Ecology data project (Information Clearinghouse) to develop on-line reporting by January 2006. **However, the information requested on this form should be close, if not identical to, the information requested in the on-line report forms.** (Use the F11 key to navigate text fields.)

### 2006-2007 GRANT INFORMATION

Recipient:	
Grant Number:	
Total CPG Funds Awarded in 2006-2007:	\$
Total CPG Funds Used in 2006-2007:	\$
Total Local Contribution (25% Match) in 2006-2007:	\$

### PROGRAM ANALYSIS

**Instructions:** Please complete a project analysis worksheet (page 2 of this form) for every project funded by your grant. Although you are only required to report on projects that are grant-funded, we strongly encourage you to report on all waste reduction, recycling and/or solid waste enforcement projects that you performed. Each task in your grant will have one or more projects; you are required to fill out a worksheet form for each project (if one grant task contains two projects you must fill out two forms). This information will be used to provide a comprehensive picture of solid waste projects statewide, as requested by grant recipients (Information Clearinghouse project). Please copy the worksheet and use as many as you need to describe all of your projects.

## Project Analysis Worksheet

<b>Task Title</b>	
<b>Project Title</b>	
CPG Grant #	CPG Task # <span style="float: right;">OR <input type="checkbox"/> Not Funded By CPG</span>
Indicate if : New Project <input type="checkbox"/> OR Ongoing Project <input type="checkbox"/> Project End Date (if Applicable):	
Short Summary/Description of Project (1-2 paragraphs):	
Total Project Cost (over two years):	
Percent Funded by CPG (may be less than 75%):	
Outcomes (Numerical and/or Narrative):	
Cost Per Unit Outcome (if applicable):	
Other Funding Sources for this Project (if applicable):	
Date Project Started:	
Staff Time (FTEs):	
Target Audience (size and description):	
Measurement Technique (how did you evaluate the success of the program?) and List of Measurement Tools Used/Created:	
Lessons Learned (if CPG funded, optional if not CPG funded):	
Check if Lessons Learned section is essential to read for anyone planning to replicate this program. <input type="checkbox"/>	
Materials Created (brochures, reports, displays etc):	

Partners Involved (optional):	
Essential Academic Learning Requirement (EALR) Created for School Program (optional):	
Date of This Update:	
<b>Project Contact Information</b>	
Name:	
Title:	
Phone Number:	
E-Mail Address:	
Website:	

*To receive this document in alternative format, contact the Solid Waste and Financial Assistance Program at 360-407-6129 (Voice), 711, or 1-800-833-6388 (TTY).*





Form		State of Washington
<b>A-19-1A</b>		<b>INVOICE VOUCHER</b>
(Rev. 10/00)		
ECY 060-02		

Form A

AGENCY USE ONLY		
AGENCY NO.	LOCATION CODE	P.R. OR AUTH NO.

AGENCY NAME	
1. Proj. Off.	Program. SWFAP
Washington State Department of Ecology	
2. Grant/Loan/ Recipient (Warrant is to be payable to:)	
Fed ID No.	

3. Payment Request No.
4. Agreement No.
Vendor's Certificate. I hereby certify under penalty of perjury that the items and totals listed herein are proper charges for materials, merchandise or services furnished to the State of Washington, and that all goods furnished and/or services rendered have been provided without discrimination because of age, sex, marital status, race, creed, color, national origin, handicap, religion, or Vietnam era or disabled veterans status.
5. By: (sign in blue ink)
Title Date
6. Contact Person ( ) Tel. No.
Received By Date Received

7	Effect. Date January 1, 2006 Expir. Date December 31, 2007	Project Officer Approval for Payment/Performance Certification		
8	Billing Period from to	Date:		
9	Fund Source Name	LTCA		
10	Amount of Grant/Loan from Fund			
11	Cumulative Amount Requested			
12	Previous Cumulative Amount Requested			
13	Current Request/Payment Due			
14	Grant/Loan Remaining in the Fund			

**All payments made are subject to federal and/or state audit**

DOC DATE		PMT DUE DATE		CURRENT DOC. NO.		REF. DOC. NO.		VENDOR NO.		VENDOR MESSAGE		USE TAX		UBI NO.	
REF DOC SUF	TRANS CODE	M O D	FUND	MASTER INDEX	SUB OBJ	SUB SUB OBJECT	ORG INDEX	WORKCLASS	COUNTY	CITY/TOWN	PROJECT	SUB PROJ	PROJ PHAS	AMOUNT	INVOICE NUMBER
				APPN	PROGRAM INDEX			ALLOC	BUDGET UNIT	MOS					
ACCOUNTING APPROVAL FOR PAYMENT									DATE			WARRANT TOTAL			WARRANT NUMBER

*Ecology is an Equal Opportunity and Affirmative Action Employer.*

## **INSTRUCTIONS FOR COMPLETING FORM A**

1. Enter the name and program of the Department of Ecology project officer.
2. Enter the name and address of the recipient, along with the contact person for us to call with any questions about the billing. Enter the recipient's Federal ID No.
3. Enter the number of the payment request - they are number consecutively.
4. Enter the grant or loan number.
5. Have the authorized official sign and date the request.
6. Enter the name and telephone number of the person who completed the payment request.
7. Enter the effective date and expiration date of the agreement.
8. Enter the period covered by the current payment request. No costs are eligible if incurred before the effective date or after the expiration date.
9. **FUND SOURCE Name:** List the name of each fund source administered by Ecology which supports the project costs.
10. **AMOUNT OF GRANT/LOAN from FUND:** For each fund source, enter the amount of the grant or loan established in the agreement. If there have been any amendments to the agreement, enter the amount established in the last amendment.
11. **CUMULATIVE AMOUNT REQUESTED from FUND:** If there is only one Form B1 or B2 for this billing, enter the amounts computed for each fund on line 11 of Form B2 or line 6(b) of form B1 (page 2). If there is more than one Form B1 or B2, do the following: for each fund, add the fund amounts computed on line 11 of all Forms B2 or line 6(b) of all Forms B1 (page 2) submitted with this payment request, and enter the sum.
12. **PREVIOUS CUMULATIVE AMOUNT REQUESTED:** Enter the amount on line 11 of the previous Form A. For first billings, enter 0.
13. **CURRENT REQUEST:** Compare the amount of the grant or loan from each fund (line 10) to the cumulative amount requested from the fund (line 11). Subtract line 12 from the smaller of the two and enter the result. If less than zero, enter zero.
14. **GRANT/LOAN REMAINING in the FUND:** Subtract the cumulative amount requested (line 11) from the Grant/Loan Amount in the Fund (line 10). If the result is less than zero, enter zero.



## FORM B2: RUNNING BUDGET SUMMARY for PROJECTS with CASH EXPENDITURES ONLY

*Use one form for each group of costs with the same eligibility requirements.*

Agreement No.: \_\_\_\_\_ Recipient: \_\_\_\_\_ Payment Request No.: \_\_\_\_\_ Page: \_\_\_\_\_ of \_\_\_\_\_

FOR PROJECTS WITH MORE THAN ONE GROUP OF ELIGIBILITY REQUIREMENTS: Group No.: \_\_\_\_\_ Fund Source(s): \_\_\_\_\_

(1) Element No.	(2) Cash Expenditures This Request	(See instructions)		(5) Cumulative Cash Expenditures on Prev. Form B2	(6) New Cumulative Cash Expenditures	(7) Budget	(8) Eligible Cumulative Element Cost
		(3) Elig. %	(4) Elig. Am't				
							(9)

<b>(10)</b> For each fund administered by Ecology that supports this group of costs, enter the name of the fund and the fund share (%) at right.	Fund: <u>LTCA</u> Share: 75%	Fund: <u>  </u> Share: <u>  </u> %	Fund: <u>  </u> Share: <u>  </u> %
<b>(11)</b> Compute fund amounts. In each column, multiply box 9 above by the fund share (%) in line 10 and enter the result.			

## INSTRUCTIONS FOR COMPLETING FORM B2

1. (First line) Enter the agreement number, recipient name, payment request number and page numbers.
2. (Second line) If the terms of the agreement establish groups of costs by different eligibility requirements, enter the group which is documented on this page. Otherwise, enter "1." Enter the name(s) of the fund source(s).
3. (Column 1) Enter the number of each budget element (task, subtask, or object) established in the agreement.
4. (Column 7) Enter the amount budgeted for each element in the agreement.
5. (Column 3) Enter the eligibility percentage for each element as specified in the agreement as a decimal. If none is specified, enter a "1."
6. (Column 2) On the line corresponding to each element, enter the cash expenditures reported for that element from box 8 of form C2.
7. (Column 4) Multiply column 2 by column 3 and enter the result.
8. (Column 5) If this is the first billing, leave this column blank. Otherwise, enter the cumulative costs computed in column 6 of the previous Form B2.
9. (Column 6) For each element, add the entries in columns 4 and 5 to obtain new cumulative cash expenditures.
10. (Column 8) For each element, compare the entry in column 6 (cumulative total element cost) with the entry in column 7 (budget amount). **IF THE CUMULATIVE TOTAL COSTS FOR ANY ELEMENT EXCEED THE BUDGET, THE EXCESS WILL NOT BE ELIGIBLE WITHOUT AN AMENDMENT.** For each element, enter the smaller of the entries in column 6 and 7 in column 8 (this is the eligible element amount to this point).
11. (Box 9) Add column 8. This is the Maximum Eligible Costs Based on the Budget.
12. (Line 10) Enter the name of each Ecology administered fund which supports this group of costs in a column at the right. Below it, enter the percentage of eligible costs which will be supported by that fund as specified in the agreement (fund share).
13. (Line 11) For each fund, multiply the fund share (%) by box 9, and enter the result on line 11. This is the cumulative amount requested from the fund for this group of costs.
14. If there is only one group, transfer the amounts on line 11 to Form A, line 11. If there is more than one group, add the fund amounts computed on line 10 of all Forms B2 for each fund, and enter on line 11 of Form A.

## FORM C2: VOUCHER SUPPORT for PROJECTS with CASH EXPENDITURES ONLY

*Use one form for each group of costs with the same eligibility requirements.*

Agreement No.: \_\_\_\_\_ Recipient: \_\_\_\_\_ Payment Request No.: \_\_\_\_\_ Page: \_\_\_\_\_ of \_\_\_\_\_

(1) Element No.	(2) Payee	(3) Item	(4) Invoice Number	(5) Date Cost Incurred	(6) Warrant Number (if any)	(7) Amount of Cash Expenditure
TOTALS BY ELEMENT						(8) \$

## **INSTRUCTIONS FOR COMPLETING FORM C2**

1. Enter the agreement number, recipient name, payment request number, and page numbers at the top of the form.
2. (Column 1) Enter the element number (as specified in the agreement) to which the cost is to be attributed.
3. (Column 2) List the name of the payee.
4. (Column 3) List the item purchased.
5. (Column 4) Enter the vendor's invoice number.
6. (Column 5) Enter the date that the cost was incurred. NOTE: All costs must be incurred between the effective and expiration dates of the agreement.
7. (Column 6) Enter the number of the warrant used to pay the vendor (if payment has already been made).
8. (Column 7) Enter the amount of the cash expenditure.
9. (Box 8) If only one element is documented on this form, add the entries in column 7 and enter the result in box 8. If more than one element is documented on this form, add the entries in column 7 for each element and circle the total for each element.
10. Enter the total for each element in column 2, Form B2.





# **APPENDIX E**

## **Sample Grant Applications**

(this section will be complete prior to release of the final Guidelines document)



# **APPENDIX F**

## **Terms and Conditions**



# **GENERAL TERMS AND CONDITIONS**

## **Pertaining to Grant and Loan Agreements of the Department of Ecology**

### **A. RECIPIENT PERFORMANCE**

All activities for which grant/loan funds are to be used shall be accomplished by the RECIPIENT and RECIPIENT's employees. The RECIPIENT shall not assign or subcontract performance to others unless specifically authorized in writing by the DEPARTMENT.

### **B. SUBGRANTEE/CONTRACTOR COMPLIANCE**

The RECIPIENT must ensure that all subgrantees and contractors comply with the terms and conditions of this agreement.

### **C. THIRD PARTY BENEFICIARY**

The RECIPIENT shall ensure that in all subcontracts entered into by the RECIPIENT pursuant to this agreement, the state of Washington is named as an express third-party beneficiary of such subcontracts with full rights as such.

### **D. CONTRACTING FOR SERVICES (BIDDING)**

Contracts for construction, purchase of equipment and professional architectural and engineering services shall be awarded through a competitive process, if required by State law. RECIPIENT shall retain copies of all bids received and contracts awarded, for inspection and use by the DEPARTMENT.

### **E. ASSIGNMENTS**

No right or claim of the RECIPIENT arising under this agreement shall be transferred or assigned by the RECIPIENT.

### **F. COMPLIANCE WITH ALL LAWS**

1. The RECIPIENT shall comply fully with all applicable Federal, State and local laws, orders, regulations and permits.

Prior to commencement of any construction, the RECIPIENT shall secure the necessary approvals and permits required by authorities having jurisdiction over the project, provide assurance to the DEPARTMENT that all approvals and permits have been secured, and make copies available to the DEPARTMENT upon request.

2. Discrimination. The DEPARTMENT and the RECIPIENT agree to be bound by all Federal and State laws, regulations, and policies against discrimination. The RECIPIENT further agrees to affirmatively support the program of the Office of Minority and Women's Business Enterprises to the maximum extent possible. The RECIPIENT shall report to the DEPARTMENT the percent of grant/loan funds available to women or minority owned businesses.
3. Wages and Job Safety. The RECIPIENT agrees to comply with all applicable laws, regulations, and policies of the United States and the State of Washington which affect wages and job safety.
4. Industrial Insurance. The RECIPIENT certifies full compliance with all applicable state industrial insurance requirements. If the RECIPIENT fails to comply with such laws, the DEPARTMENT shall have the right to immediately terminate this agreement for cause as provided in Section K.1, herein.

#### G. **KICKBACKS**

The RECIPIENT is prohibited from inducing by any means any person employed or otherwise involved in this project to give up any part of the compensation to which he/she is otherwise entitled or, receive any fee, commission or gift in return for award of a subcontract hereunder.

#### H. **AUDITS AND INSPECTIONS**

1. The RECIPIENT shall maintain complete program and financial records relating to this agreement. Such records shall clearly indicate total receipts and expenditures by fund source and task or object.

All grant/loan records shall be kept in a manner which provides an audit trail for all expenditures. All records shall be kept in a common file to facilitate audits and inspections.

Engineering documentation and field inspection reports of all construction work accomplished under this agreement shall be maintained by the RECIPIENT.

2. All grant/loan records shall be open for audit or inspection by the DEPARTMENT or by any duly authorized audit representative of the State of Washington for a period of at least three years after the final grant payment/loan repayment or any dispute resolution hereunder. If any such audits identify discrepancies in the financial records, the RECIPIENT shall provide clarification and/or make adjustments accordingly.
3. All work performed under this agreement and any equipment purchased, shall be made available to the DEPARTMENT and to any authorized state, federal or local representative for inspection at any time during the course of this agreement and for at least three years following grant/loan termination or dispute resolution hereunder.

4. RECIPIENT shall meet the provisions in OMB Circular A-133 (Audits of States, Local Governments & Non Profit Organizations) or OMB Circular A-110 (Uniform Administrative Requirements for Grants & Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations) if the RECIPIENT receives federal funds in excess of \$300,000. The RECIPIENT must forward a copy of the state auditor's audit along with the RECIPIENT response and the final corrective action plan as approved by the SAO to the DEPARTMENT within ninety (90) days of the date of the audit report.

## **I. PERFORMANCE REPORTING**

The RECIPIENT shall submit progress reports to the DEPARTMENT with each payment request or such other schedule as set forth in the Special Conditions. The RECIPIENT shall also report in writing to the DEPARTMENT any problems, delays or adverse conditions which will materially affect their ability to meet project objectives or time schedules. This disclosure shall be accompanied by a statement of the action taken or proposed and any assistance needed from the DEPARTMENT to resolve the situation. Payments may be withheld if required progress reports are not submitted.

## **J. COMPENSATION**

1. Method of compensation. Payment shall normally be made on a reimbursable as specified in the grant agreement and no more often than once per month. Each request for payment will be submitted by the RECIPIENT on State voucher request forms provided by the DEPARTMENT along with documentation of the expenses. Payments shall be made for each task/phase of the project, or portion thereof, as set out in the Scope of Work when completed by the RECIPIENT and certified as satisfactory by the Project Officer.

The payment request form and supportive documents must itemize all allowable costs by major elements as described in the Scope of Work. Instructions for submitting the payment requests are found in "Administrative Requirements for Ecology Grants and Loans", part IV, published by the DEPARTMENT. A copy of this document shall be furnished to the RECIPIENT. When payment requests are approved by the DEPARTMENT, payments will be made to the mutually agreed upon designee.

Payment requests shall be submitted to the DEPARTMENT and directed to the Project Officer assigned to administer this agreement.

2. Budget deviation. Deviations in budget amounts are not allowed without written amendment(s) to this agreement. Payment requests will be disallowed when the RECIPIENT's request for reimbursement exceeds the State maximum share amount for that element, as described in the Scope of Work.

3. Period of Compensation. Payments shall only be made for action of the RECIPIENT pursuant to the grant/loan agreement and performed after the effective date and prior to the expiration date of this agreement, unless those dates are specifically modified in writing as provided herein.
4. Final Request(s) for Payment. The RECIPIENT must submit final requests for compensation within forty-five (45) days after the expiration date of this agreement and within fifteen (15) days after the end of a fiscal biennium. Failure to comply may result in delayed reimbursement.
5. Performance Guarantee. The DEPARTMENT may withhold an amount not to exceed ten percent (10%) of each reimbursement payment as security for the RECIPIENT's performance and a financial bond. Monies withheld by the DEPARTMENT may be paid to the RECIPIENT when the project(s) described herein, or a portion thereof, have been completed if, in the DEPARTMENT's sole discretion, such payment is reasonable and approved according to this agreement and, as appropriate, upon completion of an audit as specified under section J.6., herein.
6. Unauthorized Expenditures. All payments to the RECIPIENT shall be subject to final audit by the DEPARTMENT and any unauthorized expenditure(s) charged to this grant/loan shall be refunded to the DEPARTMENT by the RECIPIENT.
7. Mileage and Per Diem. If mileage and per diem are paid to the employees of the RECIPIENT or other public entities, it shall not exceed the amount allowed under state law for state employees.
8. Overhead Costs. No reimbursement for overhead costs shall be allowed unless provided for in the Scope of Work hereunder.

#### **K. TERMINATION**

1. For Cause. The obligation of the DEPARTMENT to the RECIPIENT is contingent upon satisfactory performance by the RECIPIENT of all of its obligations under this agreement. In the event the RECIPIENT unjustifiably fails, in the opinion of the DEPARTMENT, to perform any obligation required of it by this agreement, the DEPARTMENT may refuse to pay any further funds thereunder and/or terminate this agreement by giving written notice of termination.

A written notice of termination shall be given at least five working days prior to the effective date of termination. In that event, all finished or unfinished documents, data studies, surveys, drawings, maps, models, photographs, and reports or other materials prepared by the RECIPIENT under this agreement, at the option of the DEPARTMENT, shall become Department property and the RECIPIENT shall be entitled to receive just and equitable compensation for any satisfactory work completed on such documents and other materials.



Despite the above, the RECIPIENT shall not be relieved of any liability to the DEPARTMENT for damages sustained by the DEPARTMENT and/or the State of Washington because of any breach of agreement by the RECIPIENT. The DEPARTMENT may withhold payments for the purpose of setoff until such time as the exact amount of damages due the DEPARTMENT from the RECIPIENT is determined.

2. Insufficient Funds. The obligation of the DEPARTMENT to make payments is contingent on the availability of state and federal funds through legislative appropriation and state allotment. When this agreement crosses over state fiscal years the obligation of the DEPARTMENT is contingent upon the appropriation of funds during the next fiscal year. The failure to appropriate or allot such funds shall be good cause to terminate this agreement as provided in paragraph K.1 above.

When this agreement crosses the RECIPIENT's fiscal year, the obligation of the RECIPIENT to continue or complete the project described herein shall be contingent upon appropriation of funds by the RECIPIENT's governing body; Provided, however, that nothing contained herein shall preclude the DEPARTMENT from demanding repayment of ALL funds paid to the RECIPIENT in accordance with Section O herein.

3. Failure to Commence Work. In the event the RECIPIENT fails to commence work on the project funded herein within four months after the effective date of this agreement, or by any date mutually agreed upon in writing for commencement of work, the DEPARTMENT reserves the right to terminate this agreement.

#### **L. WAIVER**

Waiver of any RECIPIENT default is not a waiver of any subsequent default. Waiver of a breach of any provision of this agreement is not a waiver of any subsequent breach and will not be construed as a modification of the terms of this agreement unless stated as such in writing by the authorized representative of the DEPARTMENT.

#### **M. PROPERTY RIGHTS**

1. Copyrights and Patents. When the RECIPIENT creates any copyrightable materials or invents any patentable property, the RECIPIENT may copyright or patent the same but the DEPARTMENT retains a royalty-free, nonexclusive and irrevocable license to reproduce, publish, recover or otherwise use the material(s) or property and to authorize others to use the same for federal, state or local government purposes.

Where federal funding is involved, the federal government may have a proprietary interest in patent rights to any inventions that developed by the RECIPIENT as provided in 35 U.S.C. 200-212.

2. Publications. When the RECIPIENT or persons employed by the RECIPIENT use or publish information of the DEPARTMENT; present papers, lectures, or seminars

involving information supplied by the DEPARTMENT; use logos, reports, maps or other data, in printed reports, signs, brochures, pamphlets, etc., appropriate credit shall be given to the DEPARTMENT.

3. Tangible Property Rights. The DEPARTMENT's current edition of "Administrative Requirements for Ecology Grants and Loans", Part V, shall control the use and disposition of all real and personal property purchased wholly or in part with funds furnished by the DEPARTMENT in the absence of state, federal statute(s), regulation(s), or policy(s) to the contrary or upon specific instructions with respect thereto in the Scope of Work.
4. Personal Property Furnished by the DEPARTMENT. When the DEPARTMENT provides personal property directly to the RECIPIENT for use in performance of the project, it shall be returned to the DEPARTMENT prior to final payment by the DEPARTMENT. If said property is lost, stolen or damaged while in the RECIPIENT's possession, the DEPARTMENT shall be reimbursed in cash or by setoff by the RECIPIENT for the fair market value of such property.
5. Acquisition Projects. The following provisions shall apply if the project covered by this agreement includes funds for the acquisition of land or facilities:
  - a. Prior to disbursement of funds provided for in this agreement, the RECIPIENT shall establish that the cost of land/or facilities is fair and reasonable.
  - b. The RECIPIENT shall provide satisfactory evidence of title or ability to acquire title for each parcel prior to disbursement of funds provided by this agreement. Such evidence may include title insurance policies, Torrens certificates, or abstracts, and attorney's opinions establishing that the land is free from any impediment, lien, or claim which would impair the uses contemplated by this agreement.
6. Conversions. Regardless of the contract termination date shown on the cover sheet, the RECIPIENT shall not at any time convert any equipment, property or facility acquired or developed pursuant to this agreement to uses other than those for which assistance was originally approved without prior written approval of the DEPARTMENT. Such approval may be conditioned upon payment to the DEPARTMENT of that portion of the proceeds of the sale, lease or other conversion or encumbrance which monies granted pursuant to this agreement bear to the total acquisition, purchase or construction costs of such property.

#### N. **RECYCLED/RECYCLABLE PAPER**

All documents and materials published under this agreement shall be produced on recycled paper containing the highest level of post consumer and recycled content that is available. At a minimum, paper with 10 percent post consumer content and 50 percent recycled content shall be used. Whenever possible, all materials shall be published on paper that is unbleached or has not been treated with chlorine gas and/or hypochlorite.

As appropriate, all materials shall be published on both sides of the paper and shall minimize the use of glossy or colored paper and other items which reduce the recyclability of the document.

**O. RECOVERY OF PAYMENTS TO RECIPIENT**

The right of the RECIPIENT to retain monies paid to it as reimbursement payments is contingent upon satisfactory performance of this agreement including the satisfactory completion of the project described in the Scope of Work. In the event the RECIPIENT fails, for any reason, to perform obligations required of it by this agreement, the RECIPIENT may, at the DEPARTMENT's sole discretion, be required to repay to the DEPARTMENT all grant/loan funds disbursed to the RECIPIENT for those parts of the project that are rendered worthless in the opinion of the DEPARTMENT by such failure to perform.

Interest shall accrue at the rate of twelve percent (12%) per annum from the time the DEPARTMENT demands repayment of funds. If payments have been discontinued by the DEPARTMENT due to insufficient funds as in Section K.2 above, the RECIPIENT shall not be obligated to repay monies which had been paid to the RECIPIENT prior to such termination. Any property acquired under this agreement, at the option of the DEPARTMENT, may become the DEPARTMENT's property and the RECIPIENT's liability to repay monies shall be reduced by an amount reflecting the fair value of such property.

**P. PROJECT APPROVAL**

The extent and character of all work and services to be performed under this agreement by the RECIPIENT shall be subject to the review and approval of the DEPARTMENT through the Project Officer or other designated official to whom the RECIPIENT shall report and be responsible. In the event there is a dispute with regard to the extent and character of the work to be done, the determination of the Project Officer or other designated official as to the extent and character of the work to be done shall govern. The RECIPIENT shall have the right to appeal decisions as provided for below.

**Q. DISPUTES**

Except as otherwise provided in this agreement, any dispute concerning a question of fact arising under this agreement which is not disposed of in writing shall be decided by the Project Officer or other designated official who shall provide a written statement of decision to the RECIPIENT. The decision of the Project Officer or other designated official shall be final and conclusive unless, within thirty days from the date of receipt of such statement, the RECIPIENT mails or otherwise furnishes to the Director of the DEPARTMENT a written appeal.

In connection with appeal of any proceeding under this clause, the RECIPIENT shall have the opportunity to be heard and to offer evidence in support of this appeal. The decision of the Director or duly authorized representative for the determination of such appeals shall be final and conclusive. Appeals from the Director's determination shall be brought in the Superior Court of Thurston County. Review of the decision of the Director will not be

sought before either the Pollution Control Hearings Board or the Shoreline Hearings Board. Pending final decision of dispute hereunder, the RECIPIENT shall proceed diligently with the performance of this agreement and in accordance with the decision rendered.

**R. CONFLICT OF INTEREST**

No officer, member, agent, or employee of either party to this agreement who exercises any function or responsibility in the review, approval, or carrying out of this agreement, shall participate in any decision which affects his/her personal interest or the interest of any corporation, partnership or association in which he/she is, directly or indirectly interested; nor shall he/she have any personal or pecuniary interest, direct or indirect, in this agreement or the proceeds thereof.

**S. INDEMNIFICATION**

1. The DEPARTMENT shall in no way be held responsible for payment of salaries, consultant's fees, and other costs related to the project described herein, except as provided in the Scope of Work.
2. To the extent that the Constitution and laws of the State of Washington permit, each party shall indemnify and hold the other harmless from and against any liability for any or all injuries to persons or property arising from the negligent act or omission of that party or that party's agents or employees arising out of this agreement.

**T. GOVERNING LAW**

This agreement shall be governed by the laws of the State of Washington.

**U. SEVERABILITY**

If any provision of this agreement or any provision of any document incorporated by reference shall be held invalid, such invalidity shall not affect the other provisions of this agreement which can be given effect without the invalid provision, and to this end the provisions of this agreement are declared to be severable.

**V. PRECEDENCE**

In the event of inconsistency in this agreement, unless otherwise provided herein, the inconsistency shall be resolved by giving precedence in the following order: (a) applicable Federal and State statutes and regulations; (b) Scope of Work; (c) Special Terms and Conditions; (d) Any terms incorporated herein by reference including the "Administrative Requirements for Ecology Grants and Loans"; and (e) the General Terms and Conditions.

## **SPECIAL TERMS AND CONDITIONS**

### **A. MINORITY AND WOMEN’S BUSINESS PARTICIPATION**

The RECIPIENT agrees to solicit and recruit, to the maximum extent possible, certified minority-owned (MBE) and women-owned (WBE) businesses in purchases and contracts initiated after the effective date of this Agreement.

In the absence of more stringent goals established by the RECIPIENT’s jurisdiction, the RECIPIENT agrees to utilize the DEPARTMENT’s goals for minority- and women-owned business participation in all bid packages, request for proposals, and purchase orders. These goals are expressed as a percentage of the total dollars available for the purchase or contract and are as follows:

Construction/Public Works	10% MBE	6% WBE
Architecture/Engineering	10% MBE	6% WBE
Purchased Goods	8% MBE	4% WBE
Purchased Services	10% MBE	4% WBE
Professional Services	10% MBE	4% WBE

No contract award or rejection shall be made based on achievement or non-achievement of the goals. Achievement of these goals is encouraged, however, and the RECIPIENT and ALL prospective bidders or persons submitting qualifications shall take the following affirmative steps in any procurement initiated after the effective date of this Agreement:

1. Include qualified minority and women’s businesses on solicitation lists.
2. Assure that qualified minority and women’s businesses are solicited whenever they are potential sources of services or supplies.
3. Divide the total requirements, when economically feasible, into smaller tasks or quantities to permit maximum participation by qualified minority and women’s businesses.
4. Establish delivery schedules, where work requirements permit, which will encourage participation of qualified minority and women’s businesses.
5. Use the services and assistance of the State Office of Minority and Women’s Business Enterprises (OMWBE) and the Office of Minority Business Enterprises of the U.S. Department of Commerce, as appropriate.

By signing this Agreement, the RECIPIENT certifies that these steps were, or will be followed. Any contractor engaged by the RECIPIENT under this agreement shall be required to follow these five affirmative steps in the award of any subcontract(s).

The RECIPIENT shall report to the DEPARTMENT payments made to qualified firms at the time of submitting each invoice and on forms provided by the DEPARTMENT. The report will address:

1. Name and State OMWBE certification number of any qualified firm receiving funds under the voucher, including any sub-and/or sub-subcontractors.

2. The total dollar amount paid to qualified firms under this invoice.

**B. INTERLOCAL AGREEMENTS**

If parties other than the RECIPIENT are contributing to the local share of project costs, memoranda of understanding or other written agreements confirming the contribution must be negotiated. These agreements must specify the exact work to be accomplished and be signed by all parties contributing to the local match of this project. Copies of these agreements shall be submitted to the DEPARTMENT.

**C. PROCUREMENT AND CONTRACTS**

1. The RECIPIENT shall follow their standard procurement procedures and/or applicable state law in awarding contracts; RECIPIENTS with no formal procurement procedures must comply with the “Standards for Competitive Solicitation”, found in the Administrative Requirements for Ecology Grants and Loans, WDOE 91-18 (Revised October 2000).
2. Following execution, at the request of the DEPARTMENT, the RECIPIENT shall submit a copy of all requests for qualifications (RFQs), requests for proposals (RFPs), and bid documents relating to this grant agreement to the DEPARTMENT.
3. The RECIPIENT may use existing contracts that conform to adopted procurement procedures and applicable state laws. The RECIPIENT shall notify the DEPARTMENT if it used contracts entered into prior to the execution of the grant agreement for performance of grant funded activities.

**D. SEPA COMPLIANCE**

To ensure that environmental values are considered by the state and local government officials when making decisions, the RECIPIENT shall comply with the provisions of the State Environmental Policy Act (SEPA), Chapter 41.23C RCW, and the SEPA Rules, Chapter 197-11 WAC. Copies of the SEPA documents shall be sent to the DEPARTMENT’s Environmental Review Section, the appropriate regional office, and Ecology’s Waste Management Grants Section.

**E. WETLANDS PROTECTION**

To comply with the directive of Executive Order 90-04, Protection of Wetlands, all local governments are requested and encouraged to make all of their actions consistent with the intent of this executive order; specifically, (1) to avoid, to the extent possible, adverse impacts associated with the destruction or modification of wetlands, and (2) to avoid direct or indirect support of new construction in wetlands wherever there is a practical alternative.

**F. FAILURE TO COMMENCE WORK**

The DEPARTMENT reserves that right to terminate this grant in the event the RECIPIENT fails to commence work on the project funded herein within six (6) months after the effective date.

**G. PROJECT INCOME**

Any project income directly generated as a result of the activities funded by this grant shall be reported as a credit against the expenses of that activity, as required by the DEPARTMENT’s Administrative Requirements for Ecology Grants and Loans, WDOE 91-18 (Revised October 2000).

H. GRANT PROJECT REPORTING

The RECIPIENT, in conjunction with submission of payment requests, or at the request of the project officer, shall prepare Progress Reports and submit them to the DEPARTMENT as required by paragraph J, General Terms and Conditions “Compensation”. These reports shall include, but not be limited to, the following information:

1. Brief description of activities for each project.
2. Brief discussion of progress toward expected outcomes.
3. Notification of any successful projects worth sharing with other jurisdictions or the media, needs for technical assistance from the DEPARTMENT, or any other comments and relevant information

I. PROMOTIONAL AND EDUCATIONAL MATERIALS

A copy of all promotional and educational materials developed as part of this grant shall be submitted to the DEPARTMENT concurrent with public distribution. The DEPARTMENT shall have the right to use any printed materials developed as part of this project in any manner the DEPARTMENT deems appropriate. The Washington State Department of Ecology will be acknowledged for providing funding in all published material and oral presentations that result from this grant.

J. AMENDMENTS AND MODIFICATIONS

No subsequent modification(s) or amendment(s) of this grant agreement shall be of any force or effect unless in writing, signed by authorized representatives of the RECIPIENT and DEPARTMENT and made part of this agreement; EXCEPT a letter of amendment will suffice to redistribute the budget without increasing the total maximum eligible cost or to change the DEPARTMENT’s Project Officer or the RECIPIENT’s Project Coordinator or to extend the period of performance as set forth in the Grant Agreement.

K. ALL WRITINGS CONTAINED HEREIN

This agreement, the appended “General Terms and Conditions”, and the DEPARTMENT’s Administrative Requirements for Ecology Grants and Loans, WDOE 91-18 (Revised October 2000), contain the entire understanding between the parties, and there are no other understandings or representations except as those set forth or incorporated by reference herein.